



Office of Homeland Security



Governor's Office of Emergency Services

FY04 Urban Areas Security Initiative (UASI)

Grant Guide for Local Governments

February 24, 2004

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Foreword: Director's Message to Grant Recipients

Following on the heels of a successful 2003 in which the California Office of Homeland Security distributed more than \$226 million in federal homeland security funds to our state's first responders, we are pleased to release the FY 04 Urban Area Security Initiative grant program.

Last year's UASI grant funded five urban cities in California for a total of \$62 million. Recognizing that a highly populated state like California has a number of urban areas, the federal Department of Homeland Security doubled to ten the number of cities selected for this year's UASI program. Better still, the amount of total funding awarded to the ten select cities has more than doubled to \$135.25 million. This increase in the cities selected and the funding provided allows the state to address the unique equipment, training, planning and exercise needs of large, high-threat urban areas.

Similar to last year's UASI program, activities must involve coordination by the identified core city, core county, and the California Office of Homeland Security. Like last year, in an effort to ensure that each Urban Area has as much resources as possible to address the needs and priorities identified in the Urban Area assessment and strategy, the state is declining its option of retaining 20% of the funding. As was the case last year, it is expected that this 20% will be used for the benefit of the Urban Area as a whole.

In addition to the funding provided to the ten Urban Areas, the FY 04 UASI program also includes more than \$5 million in funding for six mass transit authorities identified by federal DHS. This funding is provided to enhance the security and improve the preparedness of these selected mass transit authorities.

OHS is releasing this Grant Guide for Local Governments to fully explain the grant application and performance process. In addition to this Guide, should you need further assistance we have dedicated staff at the Office of Emergency Services who will be available to provide guidance. You can reach OES' Grant Management Section at (916) 845-8110, or send an e-mail to Grant.Management@oes.ca.gov.

I look forward to working with you on this and other grants. Through our combined efforts, local first responders will be better prepared to prevent and respond to the threat of terrorism.

RONALD L. IDEN
Director
California Office of Homeland Security

Part One - Grant Overview

Purpose of this Grant The federal Department of Homeland Security (DHS) has provided funding to California's Office of Homeland Security (OHS) through the Fiscal Year 2004 Urban Areas Security Initiative (FY04 UASI). This grant provides funds to:

- address the unique planning, equipment, training and exercise needs of large urban areas;
 - assist urban areas in building an enhanced and sustainable capacity to prevent, respond to and recover from threats or acts of terrorism; and,
 - assist identified mass transit authorities in the protection of critical infrastructure and emergency preparedness activities.
-

Eligible Grant Recipients The following 10 urban areas (core cities) and six transit agencies are eligible to apply for this grant:

Urban Areas

- | | |
|------------------|---------------|
| 1. Los Angeles | 6. Anaheim |
| 2. San Francisco | 7. San Jose |
| 3. Santa Ana | 8. Sacramento |
| 4. Long Beach | 9. Oakland |
| 5. San Diego | 10. Fresno |

Transit Agencies

1. Los Angeles Metrolink
 2. San Francisco Bay Area Rapid Transit District (BART)
 3. San Francisco Caltrain
 4. San Jose Altamont Commuter Express (ACE)
 5. Los Angeles County Metropolitan Transportation Authority
 6. San Diego Coaster
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Purpose of this Grant Guide This Grant Guide will provide grant recipients, and any designated agencies, with guidance and forms to apply for, perform and closeout the FY04 UASI grant. This Guide specifies the performance period, allocations, eligible activities and other grant related information and requirements.

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Part One - Grant Overview, Continued

Grant Program Differences between FY03 Part II and FY04

The major program differences between the FY03 UASI Part II and FY04 UASI programs are as follows:

- The FY04 allocation to the state is almost double that of the FY03 Part II allocation.
 - Five new urban areas and six transit agencies have been added to the FY04 program.
 - Eligible planning activities have been expanded.
 - Eligible equipment within existing categories has been expanded, and new categories have been added.
 - Non-Office for Domestic Preparedness (ODP) sponsored training courses may be eligible for reimbursement.
 - Funds must be tied to measurable projects in support of the state or urban area strategy, or the Transit Security Emergency Preparedness Plan.
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Performance Period

The performance period for FY04 UASI is 24 months from the federal award date; however, that date was not known at the time this Guide was published. The performance period will be identified in the *Notification of Grant Application Approval* letter.

The state will allow grant recipients the maximum performance period allowed by ODP. Therefore, requests for time extension cannot be granted by the state unless the state receives an extension from ODP.

Matching Requirements

There are no cost-share or match requirements for this grant.

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Part One - Grant Overview, Continued

Allocations and Methodologies - Overview

California has been allocated \$141,672,927 for FY04 UASI, and is required to subgrant at least 80% of the funds, or \$113,338,342, to urban areas and transit agencies. Like the FY 03 UASI Part II grant, however, in an effort to ensure that each urban area has as much resources as possible to address the needs and priorities identified in the urban area assessment and strategy, the state is declining its option of retaining 20% of the UASI and mass transit funding. As was the case last year, at least with regard to the UASI grants, it is expected that the state's 20% portion will be distributed so as to benefit the urban area as a whole. When submitting this application, all grant recipients are requested to provide a breakdown of the funding distribution by jurisdiction.

The federal Department of Homeland Security determined the allocations for each of California's urban areas by using a formula based upon a combination of current threat estimates, critical assets within the urban area and population density. The formula was a weighted linear combination of each factor, the result of which was ranked and used to calculate the proportional allocation of resources. Mass transit systems eligible for participation in the FY04 UASI program were identified using a formula based upon ridership and total route miles. Only heavy rail and commuter rail systems were included.

At the discretion of each grant recipient, funds may be distributed between eligible categories (planning, equipment, training, exercises, management and administration); however, no more than 3% of the total allocation to each grant recipient may be used for management and administration costs.

The state is prohibited from retaining any of the \$113,338,342 unless requested, in writing, from the urban area or transit agency. If requested, the state may retain some or all of the urban area or transit agency allocation for purchases made by the state on behalf of the urban area or transit agency. In this situation, the state and urban area or transit agency must enter into a Memorandum of Understanding (MOU) specifying the amount of funds to be retained by the state.

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Part One - Grant Overview, Continued

Urban Area Allocations

Urban areas allocations are:

	Urban Area	Allocation
1	Los Angeles*	\$28,101,720
2	San Francisco*	\$26,325,036
3	Santa Ana	\$14,969,683
4	Long Beach*	\$12,064,488
5	San Diego*	\$10,418,116
6	Anaheim	\$10,284,651
7	San Jose	\$9,923,545
8	Sacramento*	\$7,977,579
9	Oakland	\$7,808,348
10	Fresno	\$7,034,646
Total		\$134,907,812

* These urban areas were also included in the FY 03 UASI Part II grant.

Transit Agency Allocations

Transit agencies allocations are:

	Transit Agency	Allocation
1	Los Angeles Metrolink	\$1,971,111
2	San Francisco Bay Area Rapid Transit District	\$1,612,884
3	San Francisco Caltrain	\$795,280
4	San Jose Altamont Commuter Express (ACE)	\$795,280
5	Los Angeles County Metropolitan Transportation Authority	\$795,280
6	San Diego Coaster	\$795,280
Total		\$6,795,115

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Part One - Grant Overview, Continued

Grant Recipient Responsibilities

Following are grant recipient responsibilities:

1. Submit a grant application package to the state by April 24, 2004.
2. New urban areas must:
 - a. establish an Urban Area Working Group (UAWG);
 - b. conduct an urban area assessment (previously collected assessment data from the 2003 State Homeland Security Assessment and Strategy program may be used); and,
 - c. develop and submit an Urban Area Homeland Security Strategy.
3. Transit agencies must:
 - a. conduct a Transit System Threat and Vulnerability Assessment (if not already completed); and,
 - b. develop a Transit Security and Emergency Preparedness Plan (if a current one does not exist).
4. Comply with all assurances and certifications contained in the Grant Assurances.
5. If required, submit an Equal Employment Opportunity Plan (EEOP) to the Department of Justice's Office of Civil Rights (OCR) in accordance with the OCR letter dated July 29, 2002 (Appendix D), with a copy of the cover letter to OES. Grant recipients are also responsible for ensuring that any jurisdictions receiving funds from them must also comply with EEOP requirements.
6. Conduct threat- and performance-based exercises in accordance with ODP's Homeland Security Exercise and Evaluation Program (HSEEP) manuals. Once an exercise paid for with grant funds has been scheduled, grant recipients must notify the California Military Department (CMD) of the date, time and location of the exercise. Such notice can be made by calling Major Louis Millikan at (916) 826-6399 or via e-mail to louis.millikan@ca.ngb.army.mil. On behalf of OHS, the CMD will maintain a web-based master schedule of all exercises occurring throughout the state to increase communication and coordination of all exercises.
7. Prepare After Action Reports (AARs) and Corrective Action Plans (CAPs) for each exercise conducted with ODP support (grant funds or direct support). These reports must be submitted to CMD within 45 days following completion of an exercise.

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Part One - Grant Overview, Continued

**Grant
Recipient
Responsibilities,
continued**

8. Prepare performance reports for the duration of the performance period, or until all work is completed, whichever comes first. Further reporting details are included in Part Four - Performance Period Activities - Performance Reports.
9. Establish and maintain property, programmatic and financial records in accordance with the grant record requirements, and:
 - a. Maintain financial management systems that support grant activities in accordance with Title 28, Code of Federal Regulations (CFR), Part 66.20, and DOJ Financial Guide, Part II, Chapter 3.
 - b. Maintain an equipment tracking system that includes the components identified in 28 CFR Parts 66.32 and 66.33, and DOJ Financial Guide Part III, Chapter 6.
 - c. Retain records in accordance with retention requirement contained in Part Four - Performance Period Activities - Record Retention Requirements.
10. Notify the state, in writing, within 30 days of completing all approved scopes of work and disbursing all funds.
11. If changes are required after the initial grant award, submit revision requests to the state prior to incurring the associated expenditures. Further details are included in Part Four - Performance Period Activities - Changes to Scope of Work or Budget.
12. Remit unexpended funds to the state after all work has been completed and payments have been disbursed.
13. Comply with the audit requirements contained in Office of Management and Budget (OMB) Circular A-133, and 28 CFR Part 66.26.

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Part One - Grant Overview, Continued

Applicable Laws, Regulations and Guidance Documents

Urban areas and transit agencies must ensure that local and internal departments are aware of the following laws, regulations and guidance documents that apply to this grant:

- U.S.A Patriot Act, Public Laws 108-7 and 108-11
 - Office of Management and Budget (OMB) Circulars A-87, A-102, A-133
<http://www.whitehouse.gov/omb/circulars/index.html>
 - Title 28, Code of Federal Regulations
<http://www.access.gpo.gov/nara/cfr/cfr-table-search.html#page1>
 - DOJ OJP Office of the Comptroller, *Financial Guide*
www.ojp.usdoj.gov/oc
 - ODP WMD Training Course Catalogue <http://www.ojp.usdoj.gov/odp>
 - DOJ Office for Civil Rights www.ojp.usdoj.gov/ocr
 - Federal Freedom of Information Act (5 U.S.C. Sect. 552)
<http://www.usdoj.gov/04foia/>
 - California Public Records Act
 - P.L. 107-296, the Homeland Security Act of 2002
 - California's Grant Guide for Local Government www.oes.ca.gov
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National Incident Management System and Incident Command System

Grant recipients should begin utilizing the National Incident Management System (NIMS) concepts, principles, terminology, and technologies, as they are made available by DHS. Beginning in FY 2005, adoption of NIMS will be a federal requirement for receipt of future Homeland Security grant funds.

Additionally, jurisdictions and agencies should institutionalize the use of the Incident Command System (ICS) as taught by ODP, or the National Fire Academy, across their entire response system by the end of the two-year performance period.

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Part One - Grant Overview, Continued

Due Dates for Grant Documents and Work Completion

The grant due dates are:

Due Date	Activity
January 31, 2004	New urban areas must submit an Urban Area Homeland Security Strategy to ODP.
April 24, 2004	Submit the completed application to the state.
60 days from date on the <i>Application Approval</i> letter	Submit Equal Employment Opportunity Plan, if required, to the Department of Justice, Office of Civil Rights, with a copy of the cover letter to the state.
July 15*	For the duration of the performance period or until all grant activities are completed and the grant is formally closed, a performance report is due to the state by <u>July 15</u> for the period covering <u>January 1 through June 30</u> (or any partial portion of this period).
January 15*	For the duration of the performance period or until all grant activities are completed and the grant is formally closed, a performance report is due to the state by <u>January 15</u> for the period covering <u>July 1 through December 31</u> (or any partial portion of this period).
End of performance period as noted in <i>Application Approval</i> letter	All grant activities must be completed and all funds disbursed.

* A performance report template, with instructions, will be distributed to each grant recipient prior to the deadline for any required performance report.

Contact Information

For technical assistance throughout the application and grant performance process, call OES' Grant Management Section at (916) 845-8110, or send an e-mail to Grant.Management@oes.ca.gov.

Part Two - Program Specific Information

Program Overview

The FY04 UASI program provides financial assistance to address the unique planning, equipment, training, and exercise needs of large urban areas, and to assist them in building an enhanced and sustainable capacity to prevent, respond to and recover from threats or acts of terrorism. This program also provides funding to specific mass transit authorities to address security needs at these high risk critical infrastructure facilities and to promote comprehensive regional planning and coordination.

Urban areas must:

- allocate all funding in support of goals and objectives identified in their Urban Area Homeland Security Strategy or the State Homeland Security Strategy; and,
- take a regional metropolitan area approach to the development and implementation of this program by involving core cities, core counties, contiguous jurisdictions and mutual aid partners.

Additionally, urban areas are encouraged to employ regional approaches to planning and preparedness and to adopt regional response structures whenever appropriate to meet the needs identified in the assessments and the urban area strategy. It is ODP's intent to steer urban area security and preparedness efforts toward a project-oriented process to address common, measurable objectives.

Mass transit authorities must allocate all funding in support of their Transit Security and Emergency Preparedness Plan developed through this program.

Allowable activities for both the urban areas and the mass transit authorities can complement the FY04 Homeland Security Grant Program (HSGP). More information on FY04 HSGP can be found on the OES webpage.

Definition of Core City and Core County

The core city is defined as the 10 cities to which urban area funds are allocated. The core county is defined as the county within which the core city is geographically located.

Points of Contact

Points of Contact (POC) must be identified for each transit agency, and each urban area's core city and associated core county.

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Part Two - Program Specific Information, Continued

Definition of Urban Area	The state, in coordination with the urban area core city POC and the core county POC(s), must fully define the urban area as it will apply to the FY04 UASI program. Specifically, the geographical borders of what constitutes the urban area, including any possible contiguous jurisdictions and mutual aid partners, must be drawn and all participating jurisdictions within the border identified. The definition of the urban area is limited to jurisdictions contiguous to the core city and county, or with which the core city or county have established formal mutual aid agreements.
Description of Transit Agency	Each transit agency must describe its operating system, including the location, infrastructure, miles of tracks, numbers of vehicles, types of service, ridership and other important features. The agency must also provide a map and description of the geographical borders of its system and identify the cities and counties served.
Urban Area Working Group	<p>Each urban area must have an Urban Area Working Group (UAWG). The state, in coordination with the core city and core county POCs, will work through the Mayors/CEOs from all other jurisdictions within the defined urban area to identify POCs from these jurisdictions to serve on the UAWG.</p> <p>The UAWG will be responsible for coordinating development and implementation of all initiative elements, including the urban area strategy development, the methodology for the allocation of funds (in coordination with the state), and any direct services that are delivered by ODP. ODP strongly encourages that, wherever possible, previously established local working groups are leveraged for this purpose.</p>
Urban Areas Approval Authority Body	OHS strongly recommends that the urban areas create an Approval Authority Body, in addition to the mandatory UAWG. The membership composition of this Body, however, is at the joint discretion of the core city and core county. If established, this Body should make all final determinations on any urban area funding allocations.

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Part Two - Program Specific Information, Continued

Transit Agency Coordination with Urban Area Working Group

Transit agencies located in urban areas that receive FY04 UASI grant program funds must coordinate their emergency plans with the UAWG. A copy of the transit agency's grant program proposal and budget plan should be shared with the UAWG. Any training or exercises conducted with FY04 UASI Transit System Program funds should also be coordinated with the UAWG. Sharing of information and coordination of activities is expected to continue, at a minimum, throughout the performance period for this program.

NOTE: The transit agency must provide written concurrence that coordination with the UAWG has occurred.

New Urban Areas - Assessment and Strategy

New urban areas must:

- **Conduct an Urban Area Assessment.** Newly identified urban areas receiving funding under this program *may* use previously collected assessment data from the 2003 State Homeland Security Assessment and Strategy (SHSAS) program, which in turn will guide development of an Urban Area Homeland Security Strategy.
- **Develop an Urban Area Homeland Security Strategy.** Newly identified urban areas receiving funding under this program must develop a comprehensive Urban Area Homeland Security Strategy. This strategy must be developed jointly by all units of local government defined as the urban area and meet the requirements for a validated Urban Area Homeland Security Strategy as outlined in ODP's Urban Areas Security Initiative Administrator Handbook, which can be found at <http://www.shsasresources.com>.

Note: Receipt of all funds is contingent upon submission of a validated Urban Area Assessment and a validated Urban Area Homeland Security Strategy. *The Urban Area Homeland Security Strategies for the new urban areas were due to ODP by January 31, 2004.*

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Part Two - Program Specific Information, Continued

Transit Agencies - Assessment and Plan

Transit agencies must:

- **Conduct a Transit System Threat and Vulnerability Assessment.** If not already completed, each transit agency will be required to conduct a threat and vulnerability assessment (TVA) which includes requirements outlined in *The Public Transportation System Security and Emergency Guide*, Chapter 5, published by the U.S. Department of Transportation's Federal Transit Administration (FTA), and available at: <http://transit-safety.volpe.dot.gov/Publications/security/PlanningGuide.pdf>

For purposes of this grant, transit agencies may use the recently completed Security Readiness Assessment conducted by the FTA. Transit agencies may also use the vulnerability assessments that were completed during the previous round of UASI Transit System Security Grants. **These assessments must be available for federal and state homeland security officials to review upon request.**

As part of the UASI Program, ODP is making available technical assistance to mass transit agency headquarters for enhancing their capacity and preparedness to respond to weapons of mass destruction (WMD) terrorism. This technical assistance includes provision of a project team that can support the agency on-site in the implementation of a needs assessment process. The overall needs assessment process is used to identify and prioritize mass transit agency needs, according to risk, security, and response capability. The process involves three primary components, as follows:

1. Risk Assessment.
2. Response Capabilities Assessment.
3. Needs Assessment.

The process will result in two products:

1. Prioritization of security countermeasures and emergency response capability needs based on terrorist threat and risk.
2. Development of a roadmap for future transit agency funding allocations for terrorist attack risk reduction.

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Part Two - Program Specific Information, Continued

Transit Agencies - Assessment and Plan, continued

- **Develop a Transit Security and Emergency Preparedness Plan.** The transit agency must have a current (updated within the past year) comprehensive plan that provides written policies and procedures to guide the transit agency's activities for homeland security and emergency preparedness. The Emergency Preparedness Plan must demonstrate that the security program is an integrated one, and has been coordinated with other agencies, including the UAWG (for those transit systems located in urban areas that were recipients of UASI funds). **This plan must be available for federal and state homeland security officials to review upon request.**
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Urban Areas Allocation of Funds

Urban areas must utilize their Urban Area Homeland Security Strategy as the basis for allocating funds to address the prioritized needs, outlined in the strategy's goals and objectives, in enhancing and refining the urban area's preparedness efforts. There must be a clear correlation between the issues identified in the Urban Area Homeland Security Strategy and FY04 UASI activities. As stated above, when submitting the application, urban areas are requested to provide a breakdown of the funding distribution by jurisdiction.

NOTE: At a minimum, the core city and core county, as members of the UAWG, must provide written concurrence on the allocation of funds provided through the FY04 UASI.

Transit Agencies Allocation of Funds

Transit agencies' allocation of funds must be based upon their Emergency Preparedness Plan.

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Part Two - Program Specific Information, Continued

Eligible Costs and Activities - Overview

Eligible costs and activities for urban areas and transit activities are classified into five categories:

1. Planning
2. Equipment acquisitions
3. Training
4. Exercise
5. Management and administrative (M&A).

NOTE: Other than a 3% cap on M&A funds, there are no restrictions on allocation of funds across these categories.

Urban areas must allocate all funding in support of projects related to the goals and objectives identified in their Urban Area Homeland Security Strategy and the State Homeland Security Strategy.

Mass transit authorities must allocate all funding in support of projects related to their Transit Security and Emergency Preparedness Plans developed through this program. Funding for mass transit systems is intended to address security needs at these high-risk critical infrastructure facilities and to promote comprehensive regional planning and coordination.

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Part Two - Program Specific Information, Continued

Eligible Planning Activities

Eligible planning activities include:

- Establishment or enhancement of mutual aid agreements.
- Development or enhancement of emergency operations plans and operating procedures.
- Development of terrorism prevention/deterrence plans.
- Development or enhancement of response and recovery plans.
- Development or enhancement of cyber security plans.
- Development or enhancement of cyber risk mitigation plans.
- Development of communications and interoperability protocols and solutions.
- Coordination of citizen and family preparedness plans and programs, including donations programs and volunteer initiatives.
- Conducting point vulnerability assessments at critical infrastructure and development of remediation/security plans.
- Conducting cyber risk and vulnerability assessments.
- Development or enhancement of continuity of operations and continuity of government plans.
- Conferences to facilitate eligible planning activities, including local or regional program implementation meetings.

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Part Two - Program Specific Information, Continued

Eligible Planning Costs

Eligible planning costs include:

- Regular time, overtime, Compensating Time Off (CTO) and fringe benefits for current or newly hired full- or part-time staff to support eligible planning activities.
 - Payment of salaries and fringe benefits must be in accordance with the policies of the grant recipient and in accordance with applicable laws and regulations.
 - Payment of overtime expenses will be for work performed by the grant recipient in excess of the established work week, usually 40 hours. Overtime payments are allowed only to the extent the payment for such services is in accordance with the policies of the grant recipient and in accordance with applicable laws and regulations. In no case is dual compensation allowable. That is, an employee of a grant recipient may not receive compensation from their unit or agency of government AND from an award for a single period of time (i.e., 1:00 pm - 5:00 pm), even though such work may benefit both activities.
 - Fringe benefits on overtime hours are limited to FICA, Workers' Compensation and Unemployment Compensation.
 - CTO earned while performing eligible activities must be cashed-out or taken before the end of the performance period.
 - **NOTE:** Grant funds are not for the purposes of hiring public safety personnel.
- The cost of contractors/consultants hired to support eligible activities.
 - Contracts must be executed in accordance with the grant recipient's formal written procurement policy, and must comply with federal and state requirements.
- Conference, workshop and meeting related expenses to support eligible activities, including rental of space/locations, badges and facilitation costs. For a complete list of allowable meeting-related expenses, please review the OJP Office of the Comptroller (OC) Financial Guide at <http://www.ojp.usdoj.gov/FinGuide>.
- Materials and supplies required, expended or consumed to support eligible activities.
- Travel costs (i.e., airfare, mileage, per diem, hotel, etc) for employees who are on travel status for official business to support eligible activities. These costs must be in accordance with the grant recipient's approved travel policy.

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Part Two - Program Specific Information, Continued

Eligible Equipment Activities and Costs

Eligible equipment activities and costs include purchasing the following types of equipment and related costs:

1. Personal Protective Equipment (PPE)
2. Explosive Device Mitigation and Remediation Equipment
3. CBRNE Search and Rescue Equipment
4. Interoperable Communications Equipment
5. Detection Equipment
6. Decontamination Equipment
7. Physical Security Enhancement Equipment
8. Terrorism Incident Prevention Equipment
9. CBRNE Logistical Support Equipment
10. CBRNE Incident Response Vehicles
11. Medical Supplies and Limited Types of Pharmaceuticals
12. CBRNE Reference Materials
13. Agricultural Terrorism Prevention, Response and Mitigation Equipment
14. CBRNE Response Watercraft
15. CBRNE Aviation Equipment
16. Cyber Security Enhancement Equipment
17. Intervention Equipment
18. Other Authorized Equipment and Related Costs

A complete list of authorized equipment purchases and other related costs can be found in Appendix A, Authorized Equipment List. If grant recipients have questions about the eligibility of equipment not specifically addressed in Appendix A, contact OES' Grant Management Section at (916) 845-8110 or grant.management@oes.ca.gov.

All equipment acquired or maintain under this grant program must be made available for mutual aid, as set forth in the *Grant Assurances*.

Sustainment, maintenance and training in the use of equipment procured using these grant funds should be addressed in the urban area homeland security strategy.

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Part Two - Program Specific Information, Continued

Eligible Training Activities

Eligible training activities include:

- Establishment of CBRNE and cyber security training programs within existing training academies, universities or junior colleges.
 - Attendance at ODP-sponsored and/or approved CBRNE and cyber security training courses.
 - Backfill behind employees attending ODP-sponsored or approved courses.
 - Planning and conducting training workshops, conferences and training projects.
 - Training plan development.
 - Design, develop, conduct and evaluate CBRNE training.
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Part Two - Program Specific Information, Continued

Eligible Training Costs

Eligible training costs include:

- Overtime, OT CTO and OT fringe benefits for emergency preparedness and response personnel attending ODP-sponsored or ODP approved training classes.
 - Payment of overtime expenses will be for work performed by the grant recipient in excess of the established work week, usually 40 hours. Overtime payments are allowed only to the extent the payment for such services is in accordance with the policies of the grant recipient and in accordance with applicable laws and regulations. In no case is dual compensation allowable. That is, an employee of a grant recipient may not receive compensation from their unit or agency of government AND from an award for a single period of time (i.e., 1:00 pm - 5:00 pm), even though such work may benefit both activities.
 - Fringe benefits on overtime hours are limited to FICA, Workers' Compensation and Unemployment Compensation.
 - CTO earned while performing eligible activities must be cashed-out or taken before the end of the performance period.
- Backfill behind those attending ODP-sponsored or ODP approved training classes.
- Regular time, overtime, CTO and fringe benefits for current or newly hired full- or part-time staff to support eligible training activities.
 - Payment of salaries and fringe benefits must be in accordance with the policies of the grant recipient and in accordance with applicable laws and regulations.
 - See the overtime, OT CTO and OT fringe benefit information listed above.
- The cost of contractors/consultants hired to support eligible activities.
 - Contracts must be executed in accordance with the grant recipient's formal written procurement policy, and must comply with federal and state requirements.
- Conference, workshop and meeting related expenses to support eligible activities, including rental of space/locations, badges and facilitation costs. For a complete list of allowable meeting-related expenses, please review the OJP Office of the Comptroller (OC) Financial Guide at <http://www.ojp.usdoj.gov/FinGuide>.
- Materials and supplies required, expended or consumed during the course of conducting eligible activities (i.e., copying paper, gloves, tape and non-sterile masks).
- Travel costs (i.e., airfare, mileage, per diem, hotel, etc) for employees who are on travel status for official business related to conducting eligible activities, or for attending ODP-sponsored or ODP approved courses. These costs must be in accordance with the grant recipient's approved travel policy.

Continued on next page

Part Two - Program Specific Information, Continued

Training Target Audience and Subjects

The target audience for training courses funded must be emergency preparedness, prevention and response personnel, emergency managers and public/elected officials within the following disciplines:

- firefighting
- law enforcement
- emergency management
- hazardous materials
- public works
- public health
- health care
- emergency medical services
- public safety communications
- governmental administrative
- cyber security
- private security providers

Awareness training for citizen preparedness is also allowable.

See Appendix B, Training Classes and Approval Process, for ODP awareness and performance level courses that grant recipients are encouraged to adopt, and recommended subjects for other eligible courses.

Approval and Reporting of Non-ODP Sponsored Training

Grant recipients who wish to use grant funds to support attendance at and/or development of non-ODP sponsored training, must receive approval from the state **prior** to using funds for non-ODP sponsored training. See Appendix B, Training Classes and Approval Process, for the process to obtain approval of non-ODP sponsored training.

Grant recipient using these funds to develop their own courses should address the critical training areas and gaps identified in the Urban Area Homeland Security Strategy or the Transit Security and Emergency Preparedness Plan.

Grant recipients using funds to develop courses or to attend non-ODP courses will be required to report the number of individuals trained, by discipline and course level, in their performance reports.

Continued on next page

Part Two - Program Specific Information, Continued

Eligible Exercise Activities

Eligible exercise activities include:

- Planning, designing, developing, conducting, participating in and evaluating exercises and projects that train homeland security preparedness, prevention and response personnel.
- Evaluating prevention and response plans, policies, procedures and protocols.
- Assessing the readiness of jurisdictions to prevent and respond to a terrorist attack.
- Planning, conducting and participating in an Exercise Planning Workshop.
- Setting up and maintaining a system to track the completion and submission of After Action Reports, the implementation of corrective actions from exercises, and meeting with local units of government to define procedures.

Exercises must be threat and performance-based, in accordance with ODP's Homeland Security Exercise and Evaluation Program (HSEEP) manuals. These manuals provide explicit direction on the design, conduct, and evaluation of terrorism exercises. Exercises conducted with ODP support (grant funds or direct support) must be managed and executed in accordance with HSEEP. See www.ojp.usdoj.gov/odp/exercises/state.htm.

The date, time and location of any exercise to be conducted with grant funds must be given to the CMD at the time such exercise is initially scheduled. This information can be given to the CMD by calling Major Louis Millikan at (916) 826-6399 or e-mailing louis.millikan@ca.ngb.army.mil. On behalf of OHS, the CMD will maintain a web-based master schedule of all state and local exercises occurring in the state to improve the communication and coordination of such exercises.

Continued on next page

Part Two - Program Specific Information, Continued

Eligible Exercise Costs

Eligible exercise costs include:

- Backfill behind those who are designing, developing and conducting CBRNE exercises.
- Regular time, overtime, CTO and fringe benefits for current or newly hired full- or part-time staff to support eligible exercise activities.
 - Payment of salaries and fringe benefits must be in accordance with the policies of the grant recipient and in accordance with applicable laws and regulations.
 - Payment of overtime expenses will be for work performed by the grant recipient in excess of the established work week, usually 40 hours. Overtime payments are allowed only to the extent the payment for such services is in accordance with the policies of the grant recipient and in accordance with applicable laws and regulations. In no case is dual compensation allowable. That is, an employee of a grant recipient may not receive compensation from their unit or agency of government AND from an award for a single period of time (i.e., 1:00 pm - 5:00 pm), even though such work may benefit both activities.
 - Fringe benefits on overtime hours are limited to FICA, Workers' Compensation and Unemployment Compensation.
 - CTO earned while performing eligible activities must be cashed-out or taken before the end of the performance period.
- The cost of contractors/consultants hired to support eligible activities.
 - Contracts must be executed in accordance with the grant recipient's formal written procurement policy, and must comply with federal and state requirements.
- Meeting related expenses to support eligible activities, including rental of space/locations for planning and conducting exercises, signs, badges, facilitation costs, etc. For a complete list of allowable meeting-related expenses, please review the OJP Office of the Comptroller (OC) Financial Guide at <http://www.ojp.usdoj.gov/FinGuide> .
- Materials and supplies that are required, expended or consumed to support eligible exercise activities (i.e., copying paper, gloves, tape and non-sterile masks).
- Travel costs (i.e., airfare, mileage, per diem, hotel, etc) for employees who are on travel status for official business related to eligible exercise activities. These costs must be in accordance with the grant recipient's approved travel policy.

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Part Two - Program Specific Information, Continued

Exercise After Action Reports

After Action Reports (AAR) must be provided to the California Military Department (CMD) within 45 days following the completion of each exercise. The CMD is the point of contact for questions and concerns regarding implementation of the HSEEP. Grant recipients may contact the CMD's Major Louis Millikan at (916) 826-6399, or Chief Warrant Officer Dan Shemenski at (916) 826-5152, or e-mail WMDEXercises@ca.ngb.army.mil.

After Action Reports should be mailed to:

California Military Department
Attn: Major Louis Millikan
9800 Goethe Road Box 56
Sacramento, CA 95827-3563

Exercise Models, Simulations and Games

Grant recipients that wish to expend funds on models, games, or simulations must consult with "Review of Models, Simulations, and Games for Domestic Preparedness Training and Exercising, Volume I," which provides an overview and analysis of existing models, games and simulations. This report is available at www.ojp.usdoj.gov/odp/exercises/state.htm.

Eligible Management and Administration Activities

Eligible management and administration activities include:

- Management of the FY04 UASI grant.
 - Implementation and administration of the Urban Area Homeland Security Strategy or the Transit Security and Emergency Preparedness Plan.
 - Acquisition of authorized office equipment.
 - Authorized office equipment includes personal computers, laptop computers, printers, LCD projectors, and other equipment or software which may be required to support the implementation of the urban area strategy or transit agency security and emergency preparedness plan.
-

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Part Two - Program Specific Information, Continued

Eligible Management and Administration Costs

Eligible management and administration (M&A) costs include:

- Regular time, overtime, CTO and fringe benefits for current or newly hired full- or part-time staff to support eligible M&A activities.
 - Payment of salaries and fringe benefits must be in accordance with the policies of the grant recipient and in accordance with applicable laws and regulations.
 - Payment of overtime expenses will be for work performed by the grant recipient in excess of the established work week, usually 40 hours. Overtime payments are allowed only to the extent the payment for such services is in accordance with the policies of the grant recipient and in accordance with applicable laws and regulations. In no case is dual compensation allowable. That is, an employee of a grant recipient may not receive compensation from their unit or agency of government AND from an award for a single period of time (i.e., 1:00 pm - 5:00 pm), even though such work may benefit both activities.
 - Fringe benefits on overtime hours are limited to FICA, Workers' Compensation and Unemployment Compensation.
 - CTO earned while performing eligible activities must be cashed-out or taken before the end of the performance period.
- The cost of contractors/consultants hired to support eligible activities.
 - Contracts must be executed in accordance with the grant recipient's formal written procurement policy, and must comply with federal and state requirements.
- Meeting related expenses to support eligible activities, including rental of space/locations, facilitation costs, etc. For a complete list of allowable meeting-related expenses, please review the OJP Office of the Comptroller (OC) Financial Guide at <http://www.ojp.usdoj.gov/FinGuide>.
- The cost of authorized office equipment, as previously described.
- Leasing and/or renting of space for newly hired personnel to administer the FY04 UASI.
- Materials and supplies that are required, expended or consumed during the course of administering the FY04 UASI.
- Travel costs (i.e., airfare, mileage, per diem, hotel, etc) for employees who are on travel status for official business related to the M&A of FY04 UASI. These costs must be in accordance with the grant recipient's approved travel policy.

NOTE: No more than 3% of each urban area and transit agency allocation may be used for M&A purposes.

Continued on next page

Part Two - Program Specific Information, Continued

Unauthorized Activities and Costs

Unauthorized activities and costs include:

- Purchasing general-use:
 - software (word processing, spreadsheet, graphics, etc.);
 - computers (other than for allowable M&A activities, or otherwise associated preparedness or response functions) and related equipment; and,
 - vehicles.
 - Licensing fees.
 - Weapons systems and ammunition.
 - Activities unrelated to the completion and implementation of the FY04 UASI program.
 - Construction or renovation of facilities.
 - Other items not in accordance with the Authorized Equipment List or previously listed as allowable costs.
-

Part Three - Application Requirements and Process

Application Components

The application must include the following items:

- Application Cover Sheet
- Project Narrative and Budget Worksheet*
- Grant Assurances and Governing Body Resolution
NOTE: The five urban areas that participated in FY03 UASI Part II need not file new Assurance and Resolution forms if the ones on file with OES are current.
- Funding Distribution by Jurisdiction
- Additional items for urban areas:
 - core city and core county POCs;
 - definition of the urban area; and,
 - UAWG member information.
- Additional items for transit agencies:
 - POC for the transit agency; and,
 - description of the transit agency.

All forms can be found in Appendix E.

* The Project Narrative and Budget Worksheet is an EXCEL spreadsheet and must be completed and submitted to the state on CD or e-mailed as an attachment to Grant.Management@oes.ca.gov.

Mailing Address

All application components must be mailed to:

Governor's Office of Emergency Services
Grant Management Section
Post Office Box 419023
Rancho Cordova, CA 95741-9023

Application Cover Sheet

Fill in all requested information on the Application Cover Sheet, have it signed by the Authorized Agent, and mail it to the address shown above.

Continued on next page

Part Three - Application Requirements and Process, Continued

Project Narrative and Budget Worksheet

The federal Department of Homeland Security is developing an EXCEL worksheet that must be used to apply for FY04 UASI. The final version of the worksheet, with instructions, was not available when this Guide was published, therefore, a **DRAFT** version of the worksheet is available on OES' web site. The final version of the worksheet and instructions will be posted at www.oes.ca.gov as soon as they are made available by federal DHS.

Applications submitted on the DRAFT form will not be accepted.

Eligible Projects

In the past, ODP's homeland security related applications required that both the state and grant recipients provide a Program Narrative generally describing the type of activities that would be undertaken with grant funds. Additionally, grant recipients were required to submit a Budget Detail Worksheet which identified specific pieces of equipment that would be purchased with grant funds.

For the FY04 UASI, using the Project Narrative and Budget Worksheet, **core cities and transit agencies will be required to identify a maximum of 20 specific projects** to be completed with UASI funds. For each project, the core cities and transit agencies must identify:

- The goals and objectives in the Urban Area Homeland Security Strategy, Transit Security and Emergency Preparedness Plan or State Homeland Security Strategy* supported by the project.
- The solution area (planning, training, exercises, etc) and solution area sub-category (eligible activities) under which project work will be performed.
- The value of funding, goods and services provided to each discipline by solution area for the project.

NOTE: The 20 project maximum is for the transit agency's and core city's application as a whole, including all jurisdictions within the urban area.

* The final version of the State Homeland Security Strategy was not available when this Guide was published, therefore, a **DRAFT** version of the Strategy has been included in this Guide. The final version of the Strategy will be posted at www.oes.ca.gov as soon as it has been approved by federal DHS.

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Part Three - Application Requirements and Process, Continued

Governing Body Resolution

The Governing Body Resolution appoints agents authorized to execute any actions necessary under this grant. All six transit agencies and the five new urban areas must submit a Resolution. The Governing Body Resolution does not have to be submitted with the application, however, no payments can be made until a valid Resolution has been received by OES.

NOTE: The five urban areas that participated in FY03 UASI Part II need not file a new Resolution form so long as the one on file with OES is current.

Grant Assurances

The Grant Assurances form lists the requirements to which each core city and transit agency will be held accountable. All six transit agencies and the five new urban areas must submit an Assurances form. The Grant Assurances do not have to be submitted with the application, however, no payments can be made until the Grant Assurances have been received by OES.

NOTE: The five urban areas that participated in FY03 UASI Part II need not file a new Assurances form so long as the one on file with OES is current.

Funding Distribution by Jurisdiction

Grant recipients must identify funding distribution by jurisdiction. Each core city and transit agency must indicate the amount of funds distributed from their allocation to other jurisdictions.

Application Due Date

Applications are due to the state by April 24, 2004. The hard copy documents should be mailed to the address previously shown. The EXCEL spreadsheet can be sent on a CD with the other hard copy documents, or it can be e-mailed to Grant.Management@oes.ca.gov. Incomplete applications will not be approved.

Application Assistance

The state will work closely with the core cities and transit agencies throughout the application process to ensure that the application meets grant requirements. Contact OES' Grant Management Section at (916) 845-8110 or Grant.Management@OES.ca.gov for assistance.

Continued on next page

Part Three - Application Requirements and Process, Continued

**Application
Approval**

Grant recipients will be notified, in writing, of the approved application, award amount and performance period.

**Conditional
Approvals**

Grant recipients will be notified, in writing, if a proposed project is conditionally approved, subject to further review. Work can begin on the project after the grant recipient has received written notice from the state indicating that the condition(s) have been removed.

Part Four - Performance Period Activities

Reimbursement of Eligible Costs

FY04 UASI funds will be disbursed on a reimbursement basis, by project, using the Reimbursement Request form included in Appendix E.

Core cities and transit agencies are strongly encouraged to submit reimbursement requests as soon as costs have been incurred which includes when a vendor invoice has been received. In last year's grant, there was confusion about the reimbursement process. In particular, some grant recipients were under the impression that they must first purchase items with their own funds before seeking reimbursement. Instead, an invoice from a particular vendor is sufficient for purchasing jurisdictions to request reimbursement from OES. For questions about the reimbursement process please contact OES' Grant Payments Unit at (916) 845-8110.

The cost of employee labor and expenses has been incurred as soon as the time has been worked or the expense has been paid. Vendor costs have been incurred when the purchasing jurisdiction has received the vendor's invoice for payment. Encumbrances, purchase orders or signed contracts do not qualify as incurred costs.

NOTE: Payments can only be made if the grant recipient has the following documents on file with OES:

- Approved Application.
- Valid Governing Body Resolution.
- Valid Grant Assurance.

Duplication of Benefits

In no case is a duplication of benefits allowable. That is, a single cost may not be reimbursed under more than one grant.

Changes to Scope of Work or Budget

All changes to the approved scope of work or budget must be submitted to OES and approved by OHS. Revisions must be requested in writing and approved ***prior*** to initiating the revised scope of work or incurring the associated costs. These changes can be requested as part of the performance report process; however, grant recipients are not precluded from submitting revision requests at any time.

Failure to submit revision requests and receive approval prior to expenditure could result in a reduction or disallowance of that part of the grant.

Continued on next page

Part Four - Performance Period Activities, Continued

Performance Reports

Grant recipients must prepare and submit performance reports to the state for the duration of the grant period, or until all grant activities are completed and the grant is formally closed, whichever comes first. The reports must include the status of all projects, as well as other requested information and data, and are due as follows:

- Reporting Period January 1 through June 30 – due by **July 15**
- Reporting Period July 1 through December 31 – due by **January 15**

A performance report template, with instructions, will be distributed under separate cover prior to the deadline for the report. Failure to submit performance reports could result in grant reduction, termination or suspension.

Interest Earnings

In accordance with Title 28, Code of Federal Regulations, Part 66.21, and DOJ Financial Guide, Part III, Chapter 1, any interest earned, in excess of \$100 per federal fiscal year, must be remitted quarterly to:

United States Department of Health and Human Services
Division of Payment Management Services
P.O. Box 6021
Rockville, MD 20852

NOTE: The transmittal letter included with the check should indicate that the core city or transit agency is returning interest earned on FY04 UASI funds.

A copy of the transmittal letter should be sent to:

Governor's Office of Emergency Services
Attn: Accounting Office/Federal Unit
Post Office Box 419047
Rancho Cordova, CA 95742-9047

Additionally, interest earnings must be reported on the grant recipient's performance report submitted to the state.

Continued on next page

Part Four - Performance Period Activities, Continued

Procurement Requirements

Core cities and transit agencies must follow their own procurement requirements as long as they meet the federal requirements at a minimum. Federal procurement requirements for this grant can be found in:

- OMB Circular A-102;
 - Title 28, CFR, Part 66.36; and,
 - DOJ Financial Guide, Part III, Chapter 10.
-

Monitoring Grant Performance

The state may perform periodic reviews of the grant recipient's grant performance, including on-site visits. These reviews may include, but are not limited to:

- Comparing actual grant activities to those approved on the Project Narrative and Budget Worksheet.
 - Confirming compliance with:
 - Grant Assurances;
 - Information provided on the performance reports;
 - Urban Area Homeland Security Strategies; and,
 - Transit Security and Emergency Preparedness Plans.
-

Record Retention Requirements

Record retention requirements differ for property records vs. all other grant records. Refer to the following for specific requirements:

- Title 28, CFR, Part 66.42
- DOJ Financial Guide, Part III, Chapters 6 and 12

In the *Grant Closeout* letter, the state will notify the grant recipient of the start of the record retention period for grant related records.

Accessibility of Records

The federal Department of Homeland Security, the DHS Office of Inspector General, the Comptroller General of the United States, OHS, OES and any of their authorized representatives, shall have the right of access to any books, documents, papers, or other records which are pertinent to the grant, in order to make audits, examinations, excerpts and transcripts. The right of access is not limited to the required retention period but shall last as long as the records are retained. Refer to 28 CFR 66.42 and DOJ Financial Guide, Part III, Chapter 12 for more information about accessibility of records.

Continued on next page

Part Four - Performance Period Activities, Continued

Freedom of Information Act (FOIA)

The state recognizes that much of the information submitted in the course of applying for funding under this grant, or provided in the course of its grant management activities, may be considered law enforcement sensitive or otherwise important to national security interests. This may include threat, risk, and needs assessment information, and discussions of demographics, transportation, public works, and industrial and public health infrastructures. While this information is subject to requests made pursuant to the Freedom of Information Act, 5 U.S.C. Sect. 552 (FOIA), and California's Public Records Act, all determinations concerning the release of information of this nature will be made on a case-by-case basis by the state, and may fall within one or more of the available exemptions under the Act.

Grant recipients are encouraged to consult their own local laws and regulations regarding the release of information, which should be considered when reporting sensitive matters in the grant application, needs assessment and strategic planning process.

NOTICE: The details of the grant application will be subject to the provisions of the California Public Records Act (Governmental Code Section 6250 et seq.). This means that all, or part, of the application may be publicly disclosed. While the state will make every effort to protect sensitive information, it is imperative that the grant application does not contain information that constituent jurisdictions or agencies believe are confidential. The grant recipient's failure to protect such information from disclosure may jeopardize the safety and security of the people of the State of California. For example, do not specifically identify potential targets, locations, and their vulnerabilities if this information is not already public knowledge. While bridges and shopping malls are well known, key distribution points of petroleum products and data storage facilities are not.

Write the grant application with the expectation that it may be made publicly available. If there are any questions about the inclusion of sensitive information in the preparation of the application, contact the Office of Homeland Security at (916) 324-8910.

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Part Four - Performance Period Activities, Continued

Suspension or Termination

The state may suspend or terminate core city or transit agency funding, in whole or in part, or other measures may be imposed, for any of the following reasons:

- Failing to comply with the requirements or statutory objectives of federal or state law.
- Failing to make satisfactory progress toward the goals or objectives set forth in the grant recipient's application.
- Failing to follow grant agreement requirements or special conditions.
- Proposing or implementing substantial plan changes to the extent that, if originally submitted, the application would not have been selected for funding.
- Failing to submit required reports.
- Filing a false certification in the application or other report or document.

Before taking action, the state will provide the core city or transit agency reasonable notice of intent to impose measures and will make efforts to resolve the problem informally.

Part Five - Grant Closeout

Notification of Grant Completion

The grant recipient must submit a written notification to the state within 30 days of the completion of all approved work and disbursement of all funds.

Closeout Review and Notification

The state will review the grant recipient's final performance report for compliance with all grant conditions. After compliance has been verified, the state will notify the grant recipient of the grant closure and record retention requirements.

Financial Reconciliation of Grant Funds

If the final performance report indicates that the grant recipient:

- is owed additional funds, the state will send the final payment automatically to the grant recipient.
 - did not use all funds received, the state will issue an Invoice to recover unused funds.
-

Audit Requirements

Grant recipients, and any other agencies to which they subgrant funds, must comply with the audit requirements contained in OMB Circular A-133 and Title 28, CFR, Part 66.26.

Appendix A - Authorized Equipment List

1. Personal Protective Equipment - Equipment worn to protect the individual from hazardous materials and contamination. Levels of protection vary and are divided into categories based on the degree of protection afforded.

Sub Category	Description
Level A	Fully Encapsulated Liquid and Vapor Ensemble, reusable or disposal (tested and certified against CB threats)
Level A	Fully Encapsulated Training Suits
Level A	Closed-Circuit Rebreather (minimum 2-hour supply preferred)
Level A	Open-circuit SCBA or (when appropriate)
Level A	Spare Cylinders/Bottles for rebreathers
Level A	SCBA and Service Repair Kits
Level A	Chemical Resistant Gloves, including thermal as appropriate to hazard
Level A	Equipment needed for maintaining body core temperature within acceptable limits: Vest
Level A	Equipment needed for maintaining body core temperature within acceptable limits: Full Suit
Level A	Chemical Resistant Boots, Steel or Fiberglass Toe and Shank
Level A	Hardhat
Level A	Chemical/Biological Protective Undergarment (fire resistant optional)
Level A	Inner gloves
Level A	Approved Chemical Resistant Tape
Level A	Chemical Resistant Outer Booties
Level A	Air-Line System with 15-minute escape SCBA
Level B	Liquid Splash Resistant Chemical Clothing, encapsulated or non-encapsulated
Level B	Chemical Resistant Gloves, including thermal, as appropriate to hazard
Level B	Closed-Circuit Rebreather (minimum 2-hour supply preferred)
Level B	Spare Cylinders/Bottles for rebreathers
Level B	Repair Kit
Level B	Equipment needed for maintaining body core temperature within acceptable limits: Vest
Level B	Equipment needed for maintaining body core temperature within acceptable limits: Full Suit
Level B	Chemical Resistant Boots, Steel or Fiberglass Toe and Shank
Level B	Liquid Splash Resistant Hood
Level B	Open-circuit SCBA
Level B	Air-Line System with 15-minute escape SCBA
Level B	Hardhat
Level B	Chemical/Biological Protective Undergarment (fire resistant optional)
Level B	Inner gloves
Level B	Approved Chemical Resistant Tape
Level B	Chemical Resistant Outer Booties

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Appendix A - Authorized Equipment List, Continued

1. Personal Protective Equipment, continued

Sub Category	Description
Level C	Liquid Chemical Splash Resistant Clothing (permeable or non-permeable)
Level C	Chemical Resistant Gloves, including thermal as appropriate to hazard
Level C	Tight-fitting, full facepiece, negative pressure air purifying respirator with the appropriate cartridge(s) or canister(s) and P100 filter(s) for protection against toxic industrial chemicals, particulates, and military specific agents.
Level C	Personal Cooling System, vest or full suit with support equipment: Vest
Level C	Personal Cooling System, vest or full suit with support equipment: Suit
Level C	Chemical Resistant Boots, Steel or Fiberglass Toe and Shank
Level C	Liquid Chemical Splash Resistant Hood (permeable or non-permeable)
Level C	Tight-fitting, full facepiece, powered air purifying respirator (PAPR) or PAPR with chemically resistant hood with appropriate cartridge(s) or canister(s) and high-efficiency filter(s) for protection against toxic industrial chemicals, particulates, and military specific agents.
Level C	Batteries – rechargeable (e.g. NiCAD) or non-rechargeable with extended shelf life (e.g. Lithium)
Level C	Hardhat
Level C	Chemical/Biological Protective Undergarment (fire resistant optional)
Level C	Inner gloves
Level C	Chemical Resistant Tape
Level C	Chemical Resistant Outer Booties
Level C	Circuit Rebreather (minimum 2-hour supply, preferred), open-circuit SCBA, or when appropriate, Air-Line System with 15-minute minimum escape SCBA
Level C	SCBA Service and repair kits
Level C	Spare cylinder/bottles for rebreathers or SCBA
Level D	Escape mask for self-rescue

During CBRNE response operations, the incident commander determines the appropriate level of personal protective equipment. As a guide, Levels A, B, and C are applicable for chemical/biological/radiological contaminated environments. Personnel entering protective postures must undergo medical monitoring prior to and after entry. All SCBAs **must** meet standards established by the National Institute for Occupational Safety and Health (NIOSH) for occupational use by emergency preparedness and response personnel when exposed to Chemical, Biological, Radiological and Nuclear (CBRN) agents in accordance with Special Tests under NIOSH 42 CFR 84.63(c), procedure number RCT-CBRN-STP-0002, dated December 14, 2001. Grant recipients **must** purchase: 1) protective ensembles for chemical and biological terrorism incidents that are certified as compliant with Class 1, Class 2, or Class 3 requirements of

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Appendix A - Authorized Equipment List, Continued

National Fire Protection Association (NFPA) 1994, Protective Ensembles for Chemical/Biological Terrorism Incidents; 2) protective ensembles for hazardous materials emergencies that are certified as compliant with NFPA 1991, Standard on Vapor Protective Ensembles for Hazardous Materials Emergencies, including the chemical and biological terrorism protection; 3) protective ensembles for search and rescue or search and recovery operations where there is no exposure to chemical or biological warfare or terrorism agents and where exposure to flame and heat is unlikely or nonexistent that are certified as compliant with NFPA 1951, Standard on Protective Ensemble for USAR Operations; and, 4) protective clothing from blood and body fluid pathogens for persons providing treatment to victims after decontamination that are certified as compliant with NFPA 1999, Standard on Protective Clothing for Emergency Medical Operations. For more information regarding these standards, please refer to the following web sites: The National Fire Protection Association - <http://www.nfpa.org> National Institute for Occupational Safety and Health - <http://www.cdc.gov/niosh>.

2. Explosive Device Mitigation and Remediation – Equipment providing for the mitigation and remediation of explosive devices in a CBRNE environment

Sub Category	Description
Mitigation and Remediation	Bomb Search Protective Ensemble for Chemical/Biological Response
Mitigation and Remediation	Chemical/Biological Undergarment For Bomb Search Protective Ensemble
Mitigation and Remediation	Cooling Garments to manage heat stress
Mitigation and Remediation	Ballistic Threat Body Armor (not for riot suppression)
Mitigation and Remediation	Ballistic Threat Helmet (not for riot suppression)
Mitigation and Remediation	Blast and Ballistic Threat Eye Protection (not for riot suppression)
Mitigation and Remediation	Blast and Overpressure Threat Ear Protection (not for riot suppression)
Mitigation and Remediation	Fire Resistant Gloves
Mitigation and Remediation	Dearmor/Disrupter
Mitigation and Remediation	Real Time X-Ray Unit
Mitigation and Remediation	Portable X-Ray Unit

Continued on next page

Appendix A - Authorized Equipment List, Continued

2. Explosive Device Mitigation and Remediation, continued

Sub Category	Description
Mitigation and Remediation	WMD Compatible Total Containment Vessel (TCV)
Mitigation and Remediation	WMD Upgrades for existing TCV
Mitigation and Remediation	Robot
Mitigation and Remediation	Robot Upgrades
Mitigation and Remediation	Fiber Optic Kit (inspection or viewing)
Mitigation and Remediation	Tents, standard or air inflatable for chem/bio protection
Mitigation and Remediation	Inspection mirrors
Mitigation and Remediation	Ion Track Explosive Detector
Mitigation and Remediation	Blanket, Bomb Suppression Blanket, explosive devices blanket

3. CBRNE Search and Rescue Equipment - Equipment providing a technical search and rescue capability for a CBRNE environment.

Sub Category	Description
CBRNE Technical Equipment	Listening Devices
CBRNE Technical Equipment	Search cameras (including thermal imaging)
CBRNE Technical Equipment	Breaking devices (including spreaders, saws and hammers)
CBRNE Technical Equipment	Lifting devices (including air bag systems and hydraulic rams and jacks)
CBRNE Technical Equipment	Hydraulic tools; hydraulic power unit
CBRNE Technical Equipment	Blocking and bracing materials
CBRNE Technical Equipment	Evacuation chairs (for evacuation of disabled personnel)

Continued on next page

Appendix A - Authorized Equipment List, Continued

3. CBRNE Search and Rescue Equipment, continued

Sub Category	Description
CBRNE Technical Equipment	Ventilation fans
CBRNE Technical Equipment	Confined Space Kits (such as MSA Watchman)
CBRNE Technical Equipment	Rescue ropes and ladders (including rescue pulley systems)
CBRNE Technical Equipment	SCUBA equipment including: exposure and pressurized suits, face masks, regulators, air tanks, and pony bottles.
CBRNE Technical Equipment	Underwater equipment including: lights, metal detectors, communication and video units, lift bags, water rescue helmets, ice hooks, buoyancy compensator, and underwater scooter/DPV

4. Interoperable Communications Equipment - Equipment and systems providing connectivity and electrical interoperability between local and interagency organizations to coordinate CBRNE response operations. When utilizing ODP program funds in the category of Interoperable Communications Equipment to build, upgrade, enhance, or replace communications systems, core cities and transit agencies should develop a comprehensive interoperable communications plan before procurement decisions are made. Guidance for development of interoperable communications plans is provided in Appendix C.

Sub Category	Description
Interoperable Communications Equipment	Personnel Alert Safety System (PASS) - (location and physiological monitoring systems optional)
Interoperable Communications Equipment	Portable Meteorological Station (monitors temperature, wind speed, wind direction and barometric pressure at a minimum)
Interoperable Communications Equipment	Commercially available crisis management software
Interoperable Communications Equipment	Antenna and tower systems

Continued on next page

Appendix A - Authorized Equipment List, Continued

4. Interoperable Communications Equipment, continued

Sub Category	Description
Interoperable Communications Equipment	Computer aided dispatch system
Interoperable Communications Equipment	Mobile Display Terminals
Interoperable Communications Equipment	Individual/portable radios, software radios, portable repeaters, radio interconnect systems, satellite phones, batteries, chargers and battery conditioning systems.
Interoperable Communications Equipment	Land Mobile, Two-Way In-Suit Communications (secure, hands-free, fully duplex, optional)
Interoperable Communications Equipment	Computer systems designated for use in an integrated system to assist with detection and communication efforts (must be linked with integrated software packages designed specifically for chemical and/or biological agent detection and communication purpose)
Interoperable Communications Equipment	Personnel Accountability Systems
Interoperable Communications Equipment	Aviation and maritime security voice and data transmission equipment
Interoperable Communications Equipment	Leasing and rental of tower space

In an effort to improve emergency preparedness and response interoperability, all new or upgraded radio systems and new radio equipment should be compatible with a suite of standards called ANSI/TIA/EIAA-102 Phase I (Project 25). These standards have been developed to allow for backward compatibility with existing digital and analog systems and provide for interoperability in future systems. The FCC has chosen the Project 25 suite of standards for voice and low-moderate speed data interoperability in the new nationwide 700 MHZ frequency band. The Integrated Wireless Network (IWN) of the U.S. Justice and Treasury Departments has also chosen the Project 25 suite of standards for their new radio equipment. In an effort to realize improved interoperability, all radios purchased under this grant should be APCO 25 compliant.

Continued on next page

Appendix A - Authorized Equipment List, Continued

5. Detection Equipment - Equipment to sample, detect, identify, quantify and monitor for chemical, biological, radiological/nuclear and explosive agents throughout designated areas or at specific points, including equipment necessary to enhance laboratory detection capabilities

Sub Category	Description
Biological	Point Detection Systems/Kits (Immunoassay or other technology)
Chemical	M-8 Detection Paper for Chemical agent identification
Chemical	M-9 Detection Paper (roll) for chemical agent (military grade) detection
Chemical	M256 Detection Kit for Chemical Agent (weapons grade-blister: CX/HD/L blood: AC/CK; and nerve: GB/VX) detection
Chemical	M-256 Training Kit
Chemical	Hazard Categorizing (HAZCAT) Kits
Chemical	Stand-off Chemical Detector
Chemical	Colorimetric Tube/Chip Kit specific for TICs and WMD applications
Chemical	Multi-gas Meter with minimum of O2 and LEL
Chemical	Photo-Ionization Detector (PID)
Chemical	Flame Ionization Detector (FID)
Chemical	Gas Chromatograph/Mass Spectrometer (GC/MS) O2/Nitrogen or Nitrogen Only
Chemical	M-18 Series Chemical Agent Detector Kit for surface/vapor chemical agent analysis
Chemical	Surface Acoustic Wave Detector
Chemical	Ion Mobility Spectrometry
Chemical	M-272 Chemical Agent Water Test Kit
Chemical	Leak Detectors (soap solution, ammonium hydroxide, etc)
Chemical	pH Paper/pH Meter
Chemical	Waste Water Classifier Kit
Chemical	Oxidizing Paper
Chemical	Protective cases for sensitive detection equipment storage & transport
Explosive	Canines (initial acquisition, initial operational capability only)
Radiological	Radiation detection equipment (electronic or other technology that detects alpha, beta, gamma and high intensity gamma)
Radiological	Personal Dosimeter
Radiological	Scintillation Fluid (radiological) pre-packaged
Radiological	Radiation monitors

Continued on next page

Appendix A - Authorized Equipment List, Continued

6. Decontamination Equipment - Equipment and material used to clean, remediate, remove or mitigate chemical and biological contamination.

Sub Category	Description
Biological	HEPA (High Efficiency Particulate Air) Vacuum for dry decontamination
Chemical	Runoff Containment Bladder(s)
Chemical	Decon litters/roller systems
Chemical	Extraction Litters, rollable
Chemical	Non-transparent Cadaver Bags (CDC standard)
Chemical	Overpak Drums
Chemical	Decontamination system for individual and mass application with environmental controls, water heating system, showers, lighting, and transportation (trailer)
Chemical	Spill Containment Devices
Chemical	Hand Carts
Chemical	Waste water classification kits/strips

7. Physical Security Enhancement Equipment - Equipment to enhance the physical security of critical infrastructure.

Sub Category	Description
Explosion Protection	Blast/Shock/Impact Resistant Systems
Explosion Protection	Protective Clothing
Explosion Protection	Column and Surface Wraps; Breakage Shatter Resistant Glass; Window Wraps
Explosion Protection	Robotic Disarm/Disable Systems
Ground	Motion Detector Systems: Acoustic; Infrared; Seismic; Magnetometers
Ground	Barriers; Fences; Jersey Walls
Ground	Impact Resistant Doors and Gates
Ground	Portal Systems
Ground	Alarm Systems
Ground	Video Assessment/Cameras: Standard Low Light, IR, Automated Detection
Ground	Personnel Identification: Visual; Electronic; Acoustic; Laser; Scanners; Ciphers/Codes
Ground	X-Ray Units
Ground	Magnetometers
Ground	Vehicle Identification: Visual; Electronic; Acoustic; Laser; Radar
Inspection/Detection Systems	Vehicle & Cargo Inspection System-Gamma Ray
Inspection/Detection Systems	Mobile Search & Inspection System-X-ray
Inspection/Detection Systems	Non-Invasive Radiological/Chem/Bio Explosives System-Pulsed Neutron Activation

Continued on next page

Appendix A - Authorized Equipment List, Continued

7. Physical Security Enhancement Equipment, continued

Sub Category	Description
Sensors - Agent/Explosives Detection	Chemical: Active/Passive; Mobile/Fixed; Handheld
Sensors - Agent/Explosives Detection	Biological: Active/Passive; Mobile/Fixed; Handheld
Sensors - Agent/Explosives Detection	Radiological
Sensors - Agent/Explosives Detection	Nuclear
Sensors - Agent/Explosives Detection	Ground/Wall Penetrating Radar
Support Equipment	Back-up operating computer hardware and programming software
Support Equipment	Fuel storage containers
Support Equipment	Large fixed generators
Support Equipment	Self-monitoring sensors and alarms
Waterfront	Radar Systems
Waterfront	Video Assessment System/Cameras: Standard, Low Light, IR, Automated Detection
Waterfront	Diver/Swimmer Detection Systems; Sonar
Waterfront	Impact Resistant Doors and Gates
Waterfront	Portal Systems
Waterfront	Hull Scanning Equipment
Waterfront	Vessel Barriers

Continued on next page

Appendix A - Authorized Equipment List, Continued

8. Terrorism Incident Prevention Equipment (Terrorism Early Warning, Prevention and Deterrence Equipment and Technologies) - State and local emergency preparedness, prevention and response agencies will increasingly rely on the integration of emerging technologies and equipment to improve jurisdictional capabilities to deter and prevent terrorist incidents. This includes, but is not limited to, equipment and associated components that enhance a jurisdiction's ability to disseminate advanced warning information to prevent a terrorist incident or disrupt a terrorist's ability to carry out the event, including information sharing, threat recognition and public/private sector collaboration.

Sub Category	Description
Equipment and Technologies	Data collection/information gathering software
Equipment and Technologies	Data synthesis software (Hazard prediction, assessment, and threat modeling software)
Equipment and Technologies	Geographic Information System information technology and software
Equipment and Technologies	Law enforcement surveillance equipment
Equipment and Technologies	Alert Notification Systems
Equipment and Technologies	Facial recognition hardware and software
Equipment and Technologies	Fees for use of databases containing terrorist threat information
Equipment and Technologies	GIS plotter software and printers
Equipment and Technologies	Hardware, software and internet-based systems that allow for information exchange and dissemination
Equipment and Technologies	Joint Regional Information Exchange System (JRIES)

Continued on next page

Appendix A - Authorized Equipment List, Continued

9. CBRNE Logistical Support Equipment - Logistical support gear used to store and transport the equipment to the CBRNE incident site and handle it once onsite. This category also includes small support equipment including intrinsically safe (non-sparking) hand tools required to support a variety of tasks and to maintain equipment purchased under the grant, as well as general support equipment intended to support the CBRNE incident response. The State should also consider procurement of software to assist in tracking and maintaining statewide equipment assets.

Sub Category	Description
CBRNE	Equipment Trailers
CBRNE	Staging tents and portable shelter units
CBRNE	Weather-tight containers for equipment storage
CBRNE	Software for equipment tracking and inventory
CBRNE	Handheld computers for Emergency Response applications
CBRNE	Small Hand tools
CBRNE	Binoculars, head lamps, range finders and spotting scopes (not for weapons use)
CBRNE	Light and heavy duty generators to operate search and rescue equipment, light sets, water pumps for decontamination sets
CBRNE	Light sets for nighttime operations/security
CBRNE	Electrical Current detectors
CBRNE	Equipment harnesses, belts, and vests
CBRNE	Isolation containers for suspected chemical/biological samples
CBRNE	Bull horns
CBRNE	Water pumps for decontamination systems
CBRNE	Bar code scanner/reader for equipment inventory control
CBRNE	Badging system equipment and supplies
CBRNE	SCBA fit test equipment and software to conduct flow testing
CBRNE	Testing Equipment for fully encapsulated suits
CBRNE	Cooling/heating/Ventilation Fans (personnel and decontamination tent use)
CBRNE	HAZMAT Gear Bag/Box
CBRNE	Cascade system for refilling SCBA oxygen bottles
CBRNE	Night vision goggles
CBRNE	Traffic and crowd control devices (traffic and reflective cones, arrow and zone signs, portable barriers)

Continued on next page

Appendix A - Authorized Equipment List, Continued

10. CBRNE Incident Response Vehicles - This category includes special-purpose vehicles for the transport of CBRNE response equipment and personnel to the incident site. Licensing and registration fees are the responsibility of the jurisdiction and are not allowable under this grant. In addition, general-purpose vehicles (squad cars, executive transportation, etc.), fire apparatus and non-CBRNE tactical/armored assault vehicles are not allowable.

Sub Category	Description
Vehicles	Mobile command post vehicles
Vehicles	Hazardous materials (HazMat) response vehicles
Vehicles	Bomb response vehicles
Vehicles	Prime movers for equipment trailers
Vehicles	2-wheel personal transport vehicles for transporting fully suited bomb technicians, Level A/B suited technicians to the Hot Zone
Vehicles	Multi-wheeled all terrain vehicles for transporting personnel and equipment to and from the Hot Zone
Vehicles	Mobile Command Unit
Vehicles	Mobile Morgue Unit
Vehicles	Response vehicles to deploy special weapons personnel, equipped to detect chemical, biological and radiological materials; these vehicles may be armored to protect these personnel from explosions and projectiles when required to enter hot zones.

Continued on next page

Appendix A - Authorized Equipment List, Continued

11. Medical Supplies and Pharmaceuticals - Medical supplies and pharmaceuticals required for response to a CBRNE incident at the advanced life support level. Core cities and transit agencies are responsible for replenishing items after shelf-life expiration date(s).

Sub Category	Description
Medical Supplies	Automatic Biphasic External Defibrillators
Medical Supplies	Equipment/supplies for establishing and maintaining a patient airway at the advanced life support level (includes OP and NG airways; ET tubes, styletes, blades, and handles; portable suction devices and catheters; and stethoscopes for monitoring breath sounds)
Medical Supplies	IV Administration Sets (Macro and Micro)
Medical Supplies	IV Catheters (14, 16, 18, 20, and 22 gauge)
Medical Supplies	IV Catheters (Butterfly 22, 24, and 26 gauge)
Medical Supplies	Manual Biphasic Defibrillators
Medical Supplies	Eye Lens for Lavage or Continuous Medication
Medical Supplies	Nasogastric Tubes
Medical Supplies	Oxygen administration equipment and supplies (including bag valve masks: rebreather and non-rebreather masks and nasal cannulas; oxygen cylinders, regulators, tubing and manifold distribution systems; and pulse oximetry, Capnography and CO2 detection devices)
Medical Supplies	Syringes (3cc and 10cc)
Medical Supplies	26 ga. ½” needles (for syringes)
Medical Supplies	21 ga. 1-1/2” needles (for syringes)
Medical Supplies	Blood Pressure Cuffs
Medical Supplies	Morgan Eye Shields
Medical Supplies	Triage Tags and Tarps
Medical Supplies	Sterile and Non-Sterile dressings, all forms and sizes
Medical Supplies	Sterile and Non-Sterile dressings, all forms and sizes
Medical Supplies	Gauze, all sizes
Medical Supplies	Pulmonary Fit Tester
Medical Supplies	Portable Ventilators
Medical Supplies	Burn kits
Pharmaceuticals	Adenosine
Pharmaceuticals	Albuterol Sulfate .083%
Pharmaceuticals	Albuterol MDI 3 ml
Pharmaceuticals	Atropine
Pharmaceuticals	Benadryl
Pharmaceuticals	Calcium Chloride
Pharmaceuticals	Calcium Gluconate – 10%
Pharmaceuticals	Cyanide Antidote Kits
Pharmaceuticals	Dopamine
Pharmaceuticals	Glucagon

Continued on next page

Appendix A - Authorized Equipment List, Continued

11. Medical Supplies and Pharmaceuticals, continued

Sub Category	Description
Pharmaceuticals	Lasix
Pharmaceuticals	Lidocaine
Pharmaceuticals	Loperamide
Pharmaceuticals	Magnesium Sulfate
Pharmaceuticals	Methylprednisolone
Pharmaceuticals	Narcan
Pharmaceuticals	Nubain
Pharmaceuticals	Nitroglycerin
Pharmaceuticals	Silver Sulfadiazine
Pharmaceuticals	Sodium Bicarbonate
Pharmaceuticals	Sterile Water
Pharmaceuticals	Tetracaine
Pharmaceuticals	Thiamine
Pharmaceuticals	Valium
Pharmaceuticals	Potassium Iodide
Pharmaceuticals	Ciprofloxin PO
Pharmaceuticals	Dextrose
Pharmaceuticals	Doxycycline PO
Pharmaceuticals	Epinephrine
Pharmaceuticals	Normal Saline (500 and 1000 ml bags)
Pharmaceuticals	2Pam Chloride
Pharmaceuticals	Atropine Auto Injectors
Pharmaceuticals	CANA Auto Injectors

12. CBRNE Reference Materials - Reference materials and software designed to assist emergency preparedness and response personnel in preparing for and responding to a CBRNE incident. This includes but is not limited to the following:

Sub Category	Description
CBRNE	NFPA Guide to hazardous materials
CBRNE	NIOSH Hazardous Materials Pocket Guide
CBRNE	North American Emergency Response Guide
CBRNE	Jane's Chem-Bio Handbook
CBRNE	First Responder Job Aids

Continued on next page

Appendix A - Authorized Equipment List, Continued

13. Agricultural Terrorism Prevention, Response and Mitigation Equipment -

Equipment used for agricultural terrorism prevention, response and/or mitigation. DHS ODP expanded the scope of its programs based on feedback from its constituency. To that end, an agricultural section has been incorporated into the State Homeland Security Assessment and Strategy and grant programs to assist with preventing, responding to and recovering from agro-terrorism events. In addition to the following categories, any of the equipment items from the authorized equipment list may be used for agricultural homeland security efforts.

Sub Category	Description
Animal Restraint	Electric prods
Animal Restraint	Halters
Animal Restraint	Hog paddles
Animal Restraint	Hog snare
Animal Restraint	Knee boards
Animal Restraint	Lariat
Animal Restraint	Leashes
Animal Restraint	Nose leads
Animal Restraint	Panels
Animal Restraint	Portable cattle and hog chutes
Animal Restraint	Portable pens, crates, kennels
Animal Restraint	Probangs
Animal Restraint	Swine mouth speculum
Burning and Incinerating Supplies	Clean fuel oil and other incineration materials
Burning and Incinerating Supplies	Portable incinerators
Cleaning, Disinfection, and Fumigation	Bleach
Cleaning, Disinfection, and Fumigation	Other surface and topical disinfectants
Cleaning, Disinfection, and Fumigation	Potassium bromide
Cleaning, Disinfection, and Fumigation	Soda ash
Cleaning, Disinfection, and Fumigation	Sodium hydroxide and vinegar
Depopulation	Captive bolt pistol (appropriate gauge)
Depopulation	Euthanasia solution
Diagnostic Equipment	Animal identification supplies (back tags, marker crayons, waterproof tape and pens)
Diagnostic Equipment	Biohazard bags and containers
Diagnostic Equipment	Biohazard packing container
Diagnostic Equipment	Blood sampling supplies (needles, syringes, blood tubes)

Continued on next page

Appendix A - Authorized Equipment List, Continued

13. Agricultural Terrorism Prevention, Response and Mitigation Equipment, continued

Sub Category	Description
Diagnostic Equipment	Ice packs for shipping and access to freezer
Diagnostic Equipment	Sharps containers
Diagnostic Equipment	Specimen containers
Disposal Equipment and Supplies	Draglines
Disposal Equipment and Supplies	Heavy plastic liners
General	Animal handling guidelines
General	Chisel
General	Disposable scalpels/blades
General	Euthanasia guidelines
General	Forceps
General	Identification system for animals
General	Plastic file boxes or filing cabinets
General	Pliers
General	Quarantine forms
General	Reference materials for specific animal management in disasters/agroterrorism
General	Surgical scissors

14. CBRNE Prevention & Response Watercraft – This category allows for the purchase of surface boats and vessels for port homeland security purposes, including prevention and response. Allowable costs also include the purchase of customary and specialized navigational, communications, safety and operational equipment necessary to enable such watercraft to carry out their homeland security mission.

Licensing, registration fees, insurance, and all ongoing operational expenses are the responsibility of the core cities and transit agencies and are not allowable under this grant.

Sub Category	Description
CBRNE Prevention & Response Watercraft	Surface boats and vessels for port homeland security purposes including customary and specialized navigational, communications, safety, and operational equipment.

Continued on next page

Appendix A - Authorized Equipment List, Continued

15. CBRNE Aviation Equipment – This category allows for the purchase of special purpose aviation equipment where such equipment will be utilized primarily for homeland security objectives and permissible program activities, and provides that the local units of government certify that it has an operating aviation unit and that the costs for operation and maintenance of such equipment will be paid from non-grant funds. Aviation equipment is defined as fixed-wing aircraft, helicopters, and air-safety containers for CBRNE prevention, response, mitigation and/or remediation. Allowable costs include the purchase of customary and specialized navigational, communications, safety and operational equipment necessary for CBRNE prevention, response and/or recovery.

Prior to obligating funds for this category of equipment, grant recipients must submit a written request to the state. The state will seek a written waiver from the Secretary of the Department of Homeland Security Secretary through ODP. The state will consult with the ODP Preparedness Officer and provide a detailed justification for obligating funds in this category. **No funds can be used for this category of equipment until the grant recipient receives written approval from the state and ODP to obligate funds.**

Licensing, registration fees, insurance and all ongoing operational expenses are the responsibility of the local units of government and are not allowable under this grant. In addition, the purchases of general-purpose public safety aircraft such as, but not limited to, firefighting planes or police helicopters are not allowable.

Furthermore, grant recipients must certify that they have an operating aviation unit and that no expenses will be charged against the grant award for the operation of such aviation unit. Also prohibited is aviation equipment acquisition that is inconsistent with the State's updated homeland security assessment and strategy.

Sub Category	Description
CBRNE Aviation Equipment	Customary and specialized navigational, communications, safety, and operational equipment necessary for CBRNE prevention, response and/or recovery including fixed-wing aircraft, helicopters, and air-safety containers.

Continued on next page

Appendix A - Authorized Equipment List, Continued

16. Cyber Security Enhancement Equipment

Sub Category	Description
Cyber Security Enhancement Equipment	Configuration management and patch dissemination tools
Cyber Security Enhancement Equipment	Encryption systems
Cyber Security Enhancement Equipment	Firewall and authentication technologies
Cyber Security Enhancement Equipment	Geographic information systems
Cyber Security Enhancement Equipment	Intrusion detection devices and systems
Cyber Security Enhancement Equipment	Network traffic monitoring and analysis systems
Cyber Security Enhancement Equipment	Scanning and penetration tools
Cyber Security Enhancement Equipment	Security hardware and software countermeasures to protect against cyber attacks

17. Intervention Equipment – this category allows for the purchase of specialized law enforcement equipment that is necessary to further enhance their capabilities to prevent domestic terrorism incidents. Core cities and transit agencies are reminded that they must comply with 28 CFR, Parts 66 and 70. In addition, when procuring any Title III equipment, core cities and transit agencies must strictly adhere to requirements of 18 U.S.C., Part I, Chapter 119, Section 2512, pertaining to the manufacture, distribution, possession and advertising of wire, oral, or electronic communications interception devices. This category includes but is not limited to the following:

Sub Category	Description
Intervention Equipment	Specialized response vehicles and vessels
Intervention Equipment	Tactical entry equipment (not including weapons)
Intervention Equipment	Title III Equipment (Pin registers)

18. Other Authorized Equipment and Related Costs

Sub Category	Description
Authorized Equipment and Related Costs	Installation costs for authorized equipment purchased through ODP grants
Authorized Equipment and Related Costs	Maintenance contracts for authorized equipment purchased through ODP grants and acquired through DHS-ODPs Homeland Defense equipment Reuse (HDER) Program
Authorized Equipment and Related Costs	Multiple Integrated Laser Engagement System (MILES)
Authorized Equipment and Related Costs	Training on CBRNE and cyber security equipment by vendors or local & state entities
Miscellaneous	Maintenance - General
Miscellaneous	Shipping and Handling
Miscellaneous	Taxes

Appendix B - Training Classes and Approval Process

Recommended Training Classes

Grant recipients are encouraged to use FY04 UASI funds to adopt the current ODP awareness and performance level courses noted below:

- Campus Law Enforcement Awareness Training on WMD
- AWR-100 Emergency Response to Terrorism: Basic Concepts
- AWR-101 Emergency Response to Terrorism: Basic Concepts (Train-the-Trainer)
- AWR-102 Emergency Response to Terrorism: Basic Concepts (Self-Study)
- AWR 103 WMD Crime Scene Management for Emergency Responders
- AWR-110 Terrorism Awareness for Emergency Responders (Internet)
- AWR-111 Emergency Medical Services (EMS): Basic Concepts for WMD Incidents (Internet)
- AWR-112 Public Works: Basic Concepts for WMD Incidents (Internet)
- AWR-120 Law Enforcement Response to WMD – Awareness
- AWR-121 Law Enforcement Response to WMD – Awareness (Train-the-Trainer)
- AWR-130 Incident Response to Terrorist Bombings – Awareness
- AWR-140 WMD Radiological/Nuclear Awareness
- AWR-141 WMD Radiological/Nuclear Awareness (Train-the-Trainer)
- PER-200 Managing Civil Actions in Threat Incidents (MCATI): Basic Course (Train-the-Trainer)
- PER-225 Law Enforcement Response to WMD – Operations Level (Train-the-Trainer)
- PER-251 Emergency Response to Terrorism: Operations Course (Train-the-Trainer)

Note: In order to deliver these courses, state and local instructors must have been certified to deliver the course by successfully completing ODP's Train-the-Trainer course delivery.

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Appendix B - Training Classes and Approval Process,

Continued

Approval Process for Non-ODP Course Development and Attendance

The process for requesting ODP approval of non-ODP course development and attendance is as follows:

1. Grant recipient requests for review of awareness and performance level courses should be made on letterhead addressed to Lt. Col. William Hipsley, California Military Department. Lt. Col. Hipsley will collect all requests and forward to the appropriate DHS-ODP Preparedness Officer. This letter should be sent to:

Governor's Office of Emergency Services
Grant Management Section ATTN: Lt. Col. Hipsley
Post Office Box 419023
Rancho Cordova, CA 95741-9023

Do not send course materials at this time.
2. The DHS-ODP Preparedness Officer will forward the request to the ODP Training Division.
3. Upon receipt of the request, the ODP Training Division will respond as follows:
 - A. Send a letter of acknowledgment and conditional approval to CMD, accompanied by the following:
 - (1) ODP Training Approval Template and instructions for use.
 - (2) ODP Training Doctrine which includes the following 4 documents:
 - ODP Training Strategy
 - Emergency Responder Guidelines
 - Prevention Guidelines
 - Training Approval Guidelines
 - B. Notify the DHS-ODP Preparedness Officer that funding may be conditionally approved pending further review by the DHS-ODP, Center for Domestic Preparedness (CDP). The grant recipient may begin obligating funds at this time.
 - C. Ensure that the request has been entered in the ODP Training Approval Tracking System.
4. Upon receipt of the conditional approval, the Template and the Training Doctrine, CMD will work with grant recipients to document a comparison between the objectives of the course in question and the ODP Training Doctrine, using the template provided. The completed template and course materials must be returned to the ODP Training Division Designee within 30 days.

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Appendix B - Training Classes and Approval Process,

Continued

**Approval
Process for
Non-ODP
Course
Development
and
Attendance,
continued**

5. The ODP CDP will execute a review of course materials based on the completed template and issue a report to the ODP Training Division.
 6. The CDP will conduct this review within 45 days from receipt of the course materials and template. For performance level courses, the review period will be extended to 90 days if the ODP CDP determines that a site visit is necessary to adequately assess the course.
 7. Upon completion of CDP review and issuance of a recommendation memo, the ODP Training Division will initiate a final notification process that will include the DHS-ODP Preparedness Officer and the CMD.
-

Appendix C - Development of Interoperable Communications Plans

Components of Interoperable Communication Plans

When utilizing ODP program funds in the category of Interoperable Communications Equipment to build, upgrade, enhance or replace communications systems, grant recipients should develop comprehensive interoperable communications plans before procurement decisions are made. Plans should be retained by the grant recipient and be available for review by the state and ODP. The plan should address, as appropriate, the areas of:

- building public safety communication systems;
- upgrading/enhancing public safety communication systems and equipment;
- replacing public safety communication systems and equipment;
- maintaining public safety communication systems and equipment;
- training public safety staff on issues related to emergency response communications; and,
- managing public safety communications projects.

Continued on next page

Appendix C - Development of Interoperable Communications Plans, Continued

Interoperable Communication Plan Considerations

The following considerations should be made when developing a communications plan:

- Has the grant recipient already completed a plan that illustrates their commitment to public safety communication priorities?
 - Obtain/retain an executive summary that clearly illustrates how the proposed effort will lead to enhanced public safety communications interoperability.
 - What type of multi-jurisdictional or multidisciplinary agreements does the grant recipient possess (i.e., MOUs, interstate compacts, mutual aid agreements)?
- Has the grant recipient considered public safety's operational needs of the communications equipment?
 - In what type of topography/terrain does the grant recipient operate?
 - In what types of structures does the grant recipient need to communicate? (i.e., tunnels, high-rise buildings)
 - What methods of communication does the grant recipient use? (i.e., email, paging, cellular calls, portable radio communications)
 - What is the process for dispatching calls?
 - Is the communications center independently owned and operated by the grant recipient? Does it serve several public safety agencies in the grant recipient's jurisdiction? Is it a multi-agency, multi-jurisdictional facility?
 - Does the grant recipient have the ability to patch across channels? If so, how many patches can be simultaneously set up? Is a dispatcher required to set up and break the patches down?
 - What is the primary radio language used by the grant recipient when communicating with other agencies or organizations? (i.e. 'plain' English, code)
 - What types of equipment can immediately be deployed to provide short-term solutions for improved communications?

Continued on next page

Appendix C - Development of Interoperable Communications Plans, Continued

Interoperable Communication Plan Considerations, continued

- Has the grant recipient considered the system requirements to ensure interoperability with systems used by other disciplines or other levels of government?
 - What type of equipment is currently used by the grant recipient?
 - Is there a regional, multi-jurisdictional, or statewide system in place that requires interoperability in order to communicate with other agencies? If so, how does the grant recipient plan on interoperating/connecting to that system?
 - Is the equipment compatible with the Project 25 suite of standards?
 - For data-related systems, is the grant recipient using XML standards?
 - How scalable is the system? Can it be used locally between agencies and jurisdictions, statewide, and at multi-state or national level?
 - What internal and external security requirements exist in the architecture to secure information and maintain privacy levels for data as required by law?
 - Is the infrastructure shared with any other agency or organization?
 - Is it owned or leased?
 - Does the grant recipient use analog or digital radio systems or both?
 - Is the system conventional or trunked?
 - Which radio frequencies are used to communicate with other public safety agencies?
 - How many channels does the grant recipient have solely designated for communication with other agencies?
-

Appendix D - Letter Regarding Submission of Equal Employment Opportunity Plan



U.S. Department of Justice
Office of Justice Programs
Office for Civil Rights

Washington, D.C. 20531

July 29, 2002

Mr. Dallas Jones
California Office of Emergency Services
P. O. Box 419047
Rancho Cordova, CA 95741-9047

Dear Mr. Jones:

Congratulations on your recent award. Because you have submitted Certified Assurances that your agency is in compliance with applicable civil rights laws, this office has determined that you have met this requirement in the Department of Justice regulations governing recipients of Federal financial assistance (see 28 C.F.R. section 42.204, Applicants' Obligations). As Director of the Office for Civil Rights (OCR), Office of Justice Programs, I would like to offer you my assistance in completing the conditions of these Assurances, specifically Nos. 13, 14, and 15, as the grant goes forward.

As you know, equal opportunity for the participation of women and minority individuals in employment and services provided under programs and activities receiving Federal financial assistance is required by law. Therefore, if there has been a federal or state court or administrative agency finding of discrimination against your agency, please forward a copy of such order or consent decree, as required by Assurance No. 14, to OCR at the U.S. Department of Justice, Office of Justice Programs, Office for Civil Rights, 810 Seventh Street, N.W., Room 8136, Washington, D.C. 20531.

Additional Instructions For Grantees Receiving \$500,000 Or More:

1. In accordance with Assurance No. 15, each grantee that receives \$500,000 or more (or \$1,000,000 in an 18-month period), and has 50 or more employees, must **submit** an Equal Employment Opportunity Plan (EEOPlan) within 60 days from the date of this letter to OCR at the above address.¹
2. Alternatively, the grantee may choose to complete an EEO Short Form, in lieu of sending its own comprehensive EEOPlan, and return it to OCR within 60 days of the date of this letter. This easy-to-follow EEO Short Form reduces paperwork and preparation time considerably and will ensure a quicker OCR review and approval. The Seven-Step Guide to the Design and Development of an EEOPlan will assist you in completing this requirement. The Seven-Step Guide and EEO Short Form may be downloaded from OCR's home page on the Internet (<http://www.ojp.usdoj.gov/ocr/>).
3. Please be reminded that the above requirements apply to primary grantees and to each of their subgrantees or contractors that meet the criteria outlined in this letter. Therefore, all primary grantees should apprise subgrantees of these responsibilities and those meeting the criteria should send their EEOPlans or EEO Short Forms directly to the Office for Civil Rights within 60 days of the date of their award.

¹ If you have already submitted an EEOPlan as part of another award from the Office of Justice Programs (OJP) or the Office of Community Oriented Policing Services (COPS) within the past two years, or if you have certified that no EEOPlan is required, it is not necessary for you to submit another at this time. Simply send a copy of the letter you received from OCR showing that your EEOPlan or certification is acceptable along with a cover letter that references the new grant award.

rec'd 8/16/02

NOTE: If agency has under 50 employees, regardless of amount of award, no EEOP is required; however, grantee must return applicable portion of Certification Form to OCR within 60 days. This Certification Form may also be downloaded from OCR's home page on the Internet.

PURSUANT TO THE SPECIAL CONDITION REGARDING EEOPs GOVERNING THIS AWARD, RECIPIENT ACKNOWLEDGES THAT FAILURE TO SUBMIT AN ACCEPTABLE EEOP IS A VIOLATION OF ITS CERTIFIED ASSURANCES AND MAY RESULT IN SUSPENSION OF DRAWDOWN OF FUNDS UNTIL EEOP HAS BEEN APPROVED BY THE OFFICE FOR CIVIL RIGHTS.

Additional Instructions For Grantees Receiving \$25,000 Or More, But Under \$500,000:

4. Pursuant to Department of Justice regulations, each grantee that receives \$25,000 or more and has 50 or more employees is required to maintain an Equal Employment Opportunity Plan (EEOP) on file for review by OCR upon request. (However, if the grantee is awarded \$1,000,000 in an eighteen (18) month period, it must submit an acceptable EEOP to OCR.) Please complete the applicable section of the Certification Form and return it to OCR within 60 days of the date of this letter.

NOTE: If agency has under 50 employees, regardless of amount of award, no EEOP is required; however, grantee must return applicable portion of Certification Form to OCR within 60 days.

Additional Instructions For Grantees Receiving Under \$25,000:

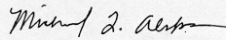
5. A recipient of under \$25,000 is not required to maintain or submit an Equal Employment Opportunity Plan (EEOP) in accordance with Assurance No. 15. No Certification is required.

Instructions for All Grantees:

6. In addition, all recipients, regardless of their type, the monetary amount awarded, or the number of employees in their workforce, are subject to the prohibitions against discrimination in any funded program or activity. Therefore, OCR investigates complaints by individuals or groups alleging discrimination by a recipient of OJP funding; and may require all recipients, through selected compliance reviews, to submit data to ensure their services are delivered in an equitable manner to all segments of the service population and their employment practices are in compliance with equal employment opportunity requirements.²

If you have any questions, please call OCR at (202) 307-0690. Additional information and technical assistance on the civil rights obligations of grantees can be found at: <http://www.ojp.usdoj.gov/ocr/>.

Sincerely,



Michael L. Alston
Acting Director, Office for Civil Rights

cc: Grant Manager
Financial Analyst

² The employment practices of certain Indian tribes are not covered by Title VII of the Civil Rights Act of 1964, 42 U.S.C. section 2000e

Appendix E - Grant Forms

Grant Forms

This appendix contains the following grant forms:

- Application Cover Sheet
- Funding Distribution by Jurisdiction
- Governing Body Resolution
- Grant Assurances
- Reimbursement Request Form

A ***DRAFT*** version of the Project Narrative and Budget Worksheet can be found on OES' web site at www.oes.ca.gov .

FY04 Urban Areas Security Initiative - Application Cover Sheet

Applicant: _____
Core City / Transit Agency

Contact Information:

Authorized Agent Mailing Address

Name/Title

City, State, Zip Code

Area Code/Office Telephone Number

E-Mail Address

Maximum Amount Allocated (see page 7 of this Guide) \$ _____

Total Amount Requested (as shown on the Project Narrative and Budget Worksheet) \$ _____

Certification and Signature of Authorized Agent

I am the duly appointed Authorized Agent and have the authority to apply for this grant and submit this application on behalf of the Core City / Transit Agency. By signing below, I hereby certify that the enclosed application represents the consensus of the Core City, Core County, Transit Agency, and/or the Urban Area Working Group, as appropriate.

Signature of Core City/Transit Agency Authorized Agent

Printed Name

Title

Date

*Signature of Core County Point of Contact
(needed for Urban Area applications only)*

Printed Name

Title

Date

For STATE use ONLY

Application reviewed/Grant award approved by: _____
Name Date

Grant Performance Period: _____

OES ID # _____ Catalog of Federal Domestic Assistance #97.008 Award # _____

If a core city or transit agency distributes any part of their allocation to another jurisdiction, a breakdown of the funding distribution must be submitted as part of the application package.

Using the following format, indicate the amount of funds retained by the core city or transit agency, and the amount distributed to which jurisdiction(s).

Jurisdiction	Amount
Core City/Transit Agency	
Grand Total	

NOTE: The Grand Total must equal the total amount requested, as shown on the Project Narrative and Budget Worksheet.

Governing Body Resolution

BE IT RESOLVED BY THE _____
(Governing Body)

OF THE _____ *THAT*
(Name of Applicant)

_____, *OR*
(Name or Title of Authorized Agent)

_____, *OR*
(Name or Title of Authorized Agent)

_____,
(Name or Title of Authorized Agent)

is hereby authorized to execute for and on behalf of the named applicant, a public entity established under the laws of the State of California, any actions necessary for the purpose of obtaining federal financial assistance provided by the federal Department of Homeland Security and subgranted through the State of California.

Passed and approved this _____ day of _____, 20_____

Certification

I, _____, duly appointed and
(Name)

_____ of the _____
(Title) (Governing Body)

do hereby certify that the above is a true and correct copy of a resolution passed and approved by

the _____ of the _____ on the
(Governing body) (Name of Applicant)

_____ day of _____, 20_____.

(Official Position)

(Signature)

(Date)

Instruction Sheet for the Governing Body Resolution

Purpose The purpose of the Governing Body Resolution is to appoint individuals to act on behalf of the governing body and grant recipient.

Authorized Agent(s) The Governing Body Resolution allows for the appointment of individuals or positions. For each person or position appointed by the governing body, submit the following information, with the Resolution, to the state on the applicant's letterhead:

- | | |
|--|---|
| <input type="checkbox"/> Jurisdiction | <input type="checkbox"/> Telephone |
| <input type="checkbox"/> Grant Program | <input type="checkbox"/> Fax # |
| <input type="checkbox"/> Name | <input type="checkbox"/> Cell Phone # |
| <input type="checkbox"/> Title | <input type="checkbox"/> E-Mail Address |
| <input type="checkbox"/> Address | |
| <input type="checkbox"/> City | |
| <input type="checkbox"/> Zip Code | |
-

Authorized Agent Changes

- If the Governing Body Resolution identified Authorized Agents by position and/or title, changes can be made by submitting new Authorized Agent information to the state, as indicated above.
- If the Governing Body Resolution identified Authorized Agents by name, a new Resolution is needed when any changes are made. The information listed above must also be submitted with the new Resolution.

Grant Assurances

Name of Applicant: _____

Address: _____

City: _____ State: _____ Zip Code: _____

Telephone Number: (____) _____

Fax Number: (____) _____

E-Mail Address: _____

As the duly authorized representative of the applicant, I certify that the applicant named above:

1. Has the legal authority to apply for federal assistance, and has the institutional, managerial and financial capability to ensure proper planning, management and completion of the grant provided by the federal Department of Homeland Security and subgranted through the State of California.
2. Will assure that grant funds are only used for allowable, fair and reasonable costs.
3. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the state, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or awarding agency directives.
4. Will provide progress reports and such other information as may be required by the awarding agency.
5. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
6. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain for themselves or others, particularly those with whom they have family, business or other ties.
7. Will comply, if applicable, with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§ 4801 et seq.) which prohibits the use of lead based paint in construction or rehabilitation of residence structures.

8. Will comply with all federal statutes relating to nondiscrimination. These include but are not limited to:
 - a. Title VI of the Civil Rights Act of 1964 (P.L. 88-352), as amended, which prohibits discrimination on the basis of race, color or national origin;
 - b. Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§ 1681-1683 and 1685-1686), which prohibits discrimination on the basis of sex;
 - c. Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 794) which prohibits discrimination on the basis of handicaps;
 - d. The Age Discrimination Act of 1975, as amended (42 U.S.C. §§ 6101-6107) which prohibits discrimination on the basis of age;
 - e. The Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255) as amended, relating to nondiscrimination on the basis of drug abuse;
 - f. The Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism §§ 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. 290 dd-3 and 290 ee-3), as amended, relating to confidentiality of alcohol and drug abuse patient records;
 - g. Title VIII of the Civil Rights Act of 1968 (42 U.S.C. § 3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing;
 - h. Title 28, Code of Federal Regulations, Part 42, Subparts C, D, E and G;
 - i. Title 28, CFR, Part 35;
 - j. Any other nondiscrimination provisions in the specific statute(s) under which application for federal assistance is being made, and
 - k. The requirements on any other nondiscrimination statute(s) which may apply to the application.
9. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provides for fair and equitable treatment of persons displaced or whose property is acquired as a result of federal or federally assisted programs. These requirements apply to all interested in real property acquired for project purposes regardless of federal participation in purchases.
10. Will comply, if applicable, with the flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.

11. Will comply with environmental standards which may be prescribed pursuant to the following:
 - a. institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514;
 - b. notification of violating facilities pursuant to EO 11738;
 - c. protection of wetlands pursuant to EO 11990;
 - d. evaluation of flood hazards in floodplains in accordance with EO 11988;
 - e. assurance of project consistency with the approved state management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§ 1451 et seq.);
 - f. conformity of federal actions to State (Clean Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. § 7401 et seq.);
 - g. protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and
 - h. protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).
12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§ 1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. 470), EO 11593 (identification and preservation of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. 469a-1 et seq).
14. Will comply with Standardized Emergency Management System (SEMS) requirements as stated in the California Emergency Services Act, Government Code, Chapter 7 of Division 1 of Title 2, Section 8607.1(e) and CCR Title 19, Sections 2445, 2446, 2447 and 2448.
15. Has requested through the State of California, federal financial assistance to be used to perform eligible work approved in the applicant's application for federal assistance. Will, after the receipt of federal financial assistance, through the State of California, agree to the following:
 - a. Promptly return to the State of California all the funds received which exceed the approved, actual expenditures as accepted by the federal or state government.
 - b. In the event the approved amount of the grant is reduced, the reimbursement applicable to the amount of the reduction will be promptly refunded to the State of California.
 - c. Separately account for interest earned on grant funds, and will return all interest earned, in excess of \$100 per federal fiscal year.

16. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. Sections 4728-4763) relating to prescribed standards for merit systems for programs funded under one of the nineteen statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
17. Will comply with provisions of the Hatch Act (5 U.S.C. Sections 1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with federal funds.
18. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
19. Will comply, if applicable, with the Laboratory Animal Welfare Act of 1966 (P. L. 89-544, as amended, 7 U.S.C. 2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
20. Will comply with the minimum wage and maximum hour provisions of the Federal Fair Labor Standards Act (29 U.S.C. 201), as they apply to employees of institutions of higher education, hospitals, and other non-profit organizations.
21. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. Section 276a to 276a-7), the Copeland Act (40 U.S.C. Section 276c and 18 U.S.C. Sections 874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. Sections 327-333), regarding labor standards for federally assisted construction sub-agreements.
22. Will not make any award or permit any award (subgrant or contract) to any party which is debarred or suspended or is otherwise excluded from or ineligible for participation in Federal assistance programs under Executive Order 12549 and 12689, "Debarment and Suspension."

23. Agrees that:

- a. No federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the making of any federal grant, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any federal grant or cooperative agreement.
- b. If any other funds than federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or an employee of Congress, or employee of a Member of Congress in connection with the federal grant or cooperative agreement, the undersigned shall complete and submit Standard Form LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.
- c. The undersigned shall require that the language of this certification be included in the award documents for all sub awards at all tiers including subgrants, contracts under grants and cooperative agreements, and subcontract(s) and that all sub recipients shall certify and disclose accordingly.
- d. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, Title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

24. Agrees that equipment acquired or obtained with grant funds:

- a. Will be made available under the California Disaster and Civil Defense Master Mutual Aid Agreement in consultation with representatives of the various fire, emergency medical, hazardous materials response services, and law enforcement agencies within the jurisdiction of the applicant.
- b. Is consistent with needs as identified in the Terrorism Annex to the State's Emergency Plan, and will be deployed in conformance with that plan.
- c. Will be made available pursuant to applicable terms of the California Disaster and Civil Defense Master Mutual Aid Agreement and deployed with personnel trained in the use of such equipment in a manner consistent with the California Law Enforcement Mutual Aid Plan or the California Fire Services and Rescue Mutual Aid Plan.

25. Agrees that funds awarded under this grant will be used to supplement existing funds for program activities, and will not supplant (replace) funds that have been appropriated for the same purpose.

26. Will comply with all applicable federal statutes, regulations, policies, guidelines and requirements, including OMB Circulars A-87 and A-133, E.O. 12372 and Uniform Administrative Requirements for Grants and Cooperative Agreements contained in Title 28, Code of Federal Regulations, Part 66, that govern the application, acceptance and use of Federal funds for this federally-assisted project.

27. Will comply, and assure the compliance of all its subgrantees and contractors, with the nondiscrimination requirements of the Omnibus Crime Control and Safe Streets Act of 1968, as amended, 42 USC 3789(d), or the Juvenile Justice and Delinquency Prevention Act, or the Victims of Crime Act, as appropriate; the provision of the current edition of the Office of Justice Programs Financial and Administrative Guide for Grants, M7100.1, and all other applicable Federal laws, orders, circulars, or regulations.
28. Will comply with provisions of 28 CFR applicable to grants and cooperative agreements, including Part 18, Administrative Review Procedures; Part 20, Criminal Justice Information Systems; Part 22, Confidentiality of Identifiable Research and Statistical Information; Part 23, Criminal Intelligence Systems Operating Policies; Part 30, Intergovernmental Review of Department of Justice Programs and Activities; Part 42, Nondiscrimination/Equal Employment Opportunities Policies and Procedures; Part 61, Procedures for Implementing the National Environmental Policy Act; Part 64, Floodplain Management and Wetland Protection Procedures; and Federal laws or regulations applicable to Federal Assistance Programs.
29. Will ensure that the facilities under its ownership, lease or supervision which shall be utilized in the accomplishment of this project are not listed in the Environmental Protection Agency's (EPA) list of Violating Facilities and that it will notify the Federal Grantor agency of the receipt of any communication from the Director of the EPA Office of Federal Activities indicating that a facility to be used in the project is under consideration for listing by the EPA.
30. Will comply with Subtitle A, Title II of the Americans with Disabilities Act (ADA) 1990.
31. Will, in the event a Federal or State court or Federal or State administrative agency makes a finding of discrimination after a due process hearing on the grounds or race, color, religion, national origin, sex, or disability against a recipient of funds, the recipient will forward a copy of the finding to the Office of Civil Rights, Office of Justice Programs.
32. Will provide an Equal Employment Opportunity Plan, if applicable, to the Department of Justice Office of Civil Rights within 60 days of grant award.
33. Will comply with the financial and administrative requirements set forth in the current edition of the Office of Justice Programs (OJP) Financial Guide.
34. Will comply, if applicable, with the provision of the Coastal Barrier Resources Act (P.L. 97-348) dated October 19, 1982 (16 USC 3501 et seq.) which prohibits the expenditure of most new Federal funds within the units of the Coastal Barrier Resources System.
35. Will comply with all applicable requirements of all other federal laws, executive orders, regulations, program and administrative requirements, policies and any other requirements governing this program.

36. Understands that failure to comply with any of the above assurances may result in suspension, termination or reduction of grant funds.

The undersigned represents that he/she is authorized by the above named applicant to enter into this agreement for and on behalf of the said applicant.

Signature of Authorized Agent: _____

Printed Name of Authorized Agent: _____

Title: _____ Date: _____

Urban Areas Security Initiative Reimbursement Request for Grant Expenditures

Award # _____

Mail Reimbursement Request to:

Applicant: _____
Core City / Transit Agency

Governor's Office of Emergency Services
Grant Payments Unit
Post Office Box 419023
Rancho Cordova, CA 95741-9023

OES ID #: _____

Please mark this box to indicate a change in
the Authorized Agent Mailing Address
below ☐

Project #	Solution Area	Expenditure Period (from/to dates)	Total Expenditures for the Expenditure Period
Grand Total			

Under penalty of perjury, I certify that:

- I am the duly authorized officer of the claimant herein.
- This claim is in all respects true, correct, and all expenditures were made in accordance with applicable laws, rules, regulations and grant conditions and assurances.

Authorized Agent (Per Governing Body Resolution)

Printed Name

Phone Number

Title

E-Mail Address

Mailing Address

Fax No.

City, State, Zip Code

Signature

Date

Instruction Sheet for the Reimbursement Request

Applicant	The applicant is the core city/transit agency, as identified in the original grant application. Do not identify any sub-departments or offices as the applicant.
Award Number	The award number is identified on the <i>Notification of Application Approval</i> letter.
OES ID #	The OES ID# is the core city/transit agency's identification number as identified on the <i>Notification of Application Approval</i> letter.
Address Changes	Indicate a change in address by checking the box shown and noting the new address in the area marked "mailing address".
Project Number and Solution Area	Indicate the project number and solution area as noted for the project on the Project Narrative and Budget Worksheet.
Expenditure Period	<p>Indicate the expenditure period for which funds are being requested. Identify the month and year for the beginning and ending of the period covered by this request. <i>This is not the Performance Period listed on the Notification of Application Approval letter.</i> The grant recipient may indicate different from/to dates for each project.</p> <p>The expenditure period cannot cross state fiscal years, therefore, separate requests must be submitted for expenditures incurred on or before June 30, and on or after July 1.</p>
Total Expenditures for the Expenditure Period	Indicate the total expenditures for the expenditure period. Based upon the total expenditures and amounts previously paid to the grant recipient, the state will automatically calculate the funds that can be paid, and will process a payment request for that amount.
Authorized Agent Information	Complete all line items requested and ensure that the form is signed by an Authorized Agent named in the Governing Body Resolution
Mail	Mail the original to the address identified at the top of the request form.
Supporting Documents	Supporting documents are not required to be submitted with the Reimbursement Request; however, the state reserves the right to request documentation at any time. Grant recipients are reminded to maintain documents that support the expenditure amounts shown on the request.

Appendix F - State Homeland Security Strategy - DRAFT

Goal and Objectives #1

Goal #1: Institutionalize terrorism emergency planning in California's multi-hazard emergency planning and response processes.

Objectives:

- 1.1 Update the State Emergency Plan Terrorism Annex.
 - 1.2 Update Local Planning Guidance on Terrorism.
 - 1.3 Incorporate Terrorism into the State Multi-Hazard Mitigation Plan.
 - 1.4 Develop/update procedures needed to implement terrorism plans.
 - 1.5 Exercise terrorism plans and procedures.
 - 1.6 Integrate training and exercise programs.
 - 1.7 Train personnel on terrorism plans and procedures.
-

Goal and Objectives #2

Goal #2: Enhance public outreach, education and training efforts to address terrorism events.

Objectives:

- 2.1 Support the development and capabilities of Citizen Corps and other community-based organizations.
 - 2.2 Evaluate Citizen Corps and related programs for long-term effectiveness.
-

Goal and Objectives #3

Goal #3: Ensure emergency responders have the equipment necessary for multi-discipline response to terrorism events.

Objectives:

- 3.1 Administer the Homeland Security Grant program.
 - 3.2 Administer state portion of equipment funds.
 - 3.3 Meet equipment related training needs.
-

Goal and Objectives #4

Goal #4: Enhance regional response capabilities for terrorism events.

Objectives:

- 4.1 Conduct regional exercises.
 - 4.2 Evaluate regional response capabilities based on exercises.
-

Continued on next page

Appendix F - State Homeland Security Strategy - DRAFT,

Continued

Goal and Objectives #5

Goal #5: Enhance intelligence sharing and evaluation efforts to deter, prevent, and respond to terrorism events.

Objectives:

- 5.1 Support intelligence collection, analysis, and dissemination operations.
 - 5.2 Meet intelligence/prevention related training and exercise needs.
 - 5.3 Meet intelligence/prevention related equipment and capital improvement needs.
-

Goal and Objectives #6

Goal #6: Enhance security at all identified critical infrastructure sites.

Objectives:

- 6.1 Update list of all critical infrastructure sites in California, or affecting California's security.
 - 6.2 Assess the vulnerability of all critical infrastructure sites in California.
 - 6.3 Enhance security at all critical infrastructure sites in California.
-

Goal and Objectives #7

Goal #7: Incorporate Recovery element in all plans and procedures to ensure the capability to recover from a terrorism incident.

Objectives:

- 7.1 All jurisdictions will develop, review, or update appropriate plans to include Recovery.
 - 7.2 Train and exercise personnel on Recovery procedures.
-

Appendix G - Abbreviations and Acronyms

A

AAR After Action Reports

AEL Authorized equipment list

APCO Association of Public-Safety Communications Officials

B

BSIR Biannual Strategy Implementation Reports

C

CAP Corrective Action Plan

CAPR Categorical Assistance Progress Reports

CBRN Chemical, Biological, Radiological and Nuclear

CBRNE Chemical, biological, radiological, nuclear, and explosive

CCP Citizen Corps Program

CDP Center for Domestic Preparedness

CERT Community Emergency Response Teams

CFDA Catalog of Federal Domestic Assistance

CMD California Military Department

CNG California National Guard

CSID Centralized Scheduling and Information Desk

D

D&B Dun and Bradstreet

DHS U.S. Department of Homeland Security

DPETAP Domestic Preparedness Equipment Technical Assistance Program

DUNS Data Universal Numbering System

E

EMS Emergency Medical Services

F

FAR Federal Acquisition Regulations

FID Flame Ionization Detector

FOIA Freedom of Information Act

FSR Financial Status Report

G

GAN Grant Adjustment Notice

GC/MS Gas Chromatograph/Mass Spectrometer

GIS Geographic Information System

Continued on next page

Appendix G - Abbreviations and Acronyms, Continued

H

HAZCAT Hazard Categorizing
HazMat Hazardous materials
HDER Homeland Defense Equipment Reuse
HEPA High Efficiency Particulate Air
HSEEP Homeland Security Exercise and Evaluation Program
HSGP Homeland Security Grant Program

I

IAB Interagency Board
ICS Incident command system
IP Improvement Plan
IWN Integrated Wireless Network

J

JRIES Joint Regional Information Exchange System

L

LETPP Law Enforcement Terrorism Prevention Program
LLEA Lead Law Enforcement Agency
LOCES Letter of Credit Electronic Certification System

M

M&A Management and administrative
MILES Multiple Integrated Laser Engagement System
MRC Medical Reserve Corps

N

NFPA National Fire Protection Association
NIMS National Incident Management System
NIOSH National Institute for Occupational Safety and Health

O

OC Office of the Comptroller
ODP Office for Domestic Preparedness
OMB Office of Management and Budget

Continued on next page

Appendix G - Abbreviations and Acronyms, Continued

P

PAPR Powered Air Purifying Respirator
PAPRS Phone Activated Paperless Request System
PASS Personnel Alert Safety System
PID Photo-Ionization Detector
PPE Personal Protective Equipment

S

SAA State Administrative Agency
SCBA Self-Contained Breathing Apparatus
SEL Standardized Equipment List
SHSAS State Homeland Security Assessments and Strategies
SHSP State Homeland Security Program
SHSS State Homeland Security Strategy
SPOC Single Point of Contact

T

TCV Total Containment Vessel

U

USAR Urban Search and Rescue

V

VIPS Volunteers in Police Service

W

WMD Weapons of Mass Destruction
